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THE UNIVERSITY OF ALBERTA

Performance Evaluation Perceptions of Administrators in an Urban School District

By

Donnazelle Irene Wilson

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A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE OF MASTER OF EDUCATION

DEPARTMENT OF EDUCATIONAL ADMINISTRATION

EDMONTON, ALBERTA

(FALL 1988)

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FACULTY OF GRADUATE STUDIES AND RESEARCH

The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research for acceptance, a thesis entitled: Performance Evaluation Perceptions of Administrators in an Urban School District

submitted by Donnazelle Irene Wilson in partial fulfillment of the requirements for the degree of Master of Education.

Supervisor

Date: October 13, 1988

I dedicate this document to

my parents, Morris and LeVerne, who have given me all the support and encouragement that parents can possibly give

my sister and best friend, Diane, who did all of my typing

my grandmother, Irene, who is an inspiration to all of us

my nephew and neice, Jeff and Jodi, who are the delight of our family

my good friend, Jeanne, who listened patiently and made numerous suggestions

and

finally my "buddies", Joanne and Marilyn, for their constant prodding and encouragement.

ABSTRACT

In 1983 Alberta Education introduced a Proposed Evaulation Policy and two years later mandated yearly evaluation of teachers' performance. Each school board was to be responsible for developing, keeping current and implementing written policies, guidelines and procedures that were in keeping with the written policies, guidelines and procedures as outlined by Alberta Education.

A review of the literature led to the examination of the following topics as they relate to performance evaluation: What are the purposes and methods of evaluating? Who should evaluate? What are some of the key aspects and problems of a performance evaluation system and implementation and evaluation of the performance evaluation process.

This two phase study focused on the perceptions of educational leaders in a large urban (Edmonton Public) district. Ten individual interviews were conducted with a sample group of senior administrators and ninety-four inventories were completed by a sample group of principals. The perceptions of the two sample groups were compared. Twenty statements related to performance evaluation were used as the basis for the comparison. The senior

administrators agreed unanimously with the statements. The per cent agreement by the sample group of principals varied from 31.0% to 97.9%.

Of the twenty statements, six of the statements had above eighty per cent of the sample group of principals in agreement. These statements related to the following: performance evaluation was a high priority in the district and with the senior staff, performance evaluation was used to improve performance, the evaluator approved the evaluatee's objectives, the purpose for evaluating performance was made clear and the supervisor was comfortable evaluating performance.

Two statements had less than fifty per cent of the sample group of principals in agreement: the supervisor provided direction for doing a self-evaluation and the supervisor gathered information from subordinates.

A comparison of the findings of the interviews with the findings from the inventory resulted in seven conclusions being reached. As a result, twenty recommendations were made that could strengthen performance evaluation within the jurisdiction that was used for the study.

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I would like to thank my advisor and friend, Dr. Al MacKay, for his constant support and encouragement. In particular, his editorial expertise and his motivational techniques were certainly appreciated in helping to complete this thesis.

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Chapter 1

Introduction to the Study

Introduction

The performance appraisal of educational personnel is a topic that has received a great deal of attention in the eighties. According to McCurdy (1983:80) "evaluation, a vitally important part of any educational system, has a highly promising future because of its potential for improving schools."

Yet evaluation in education is not new. In the past, much of the evaluation that was conducted was subjective, informal, private, incomplete and accidental. Partly as a result of the public's outcry for "accountability" and the educational profession's desire to improve the quality of education, evaluation has been moving toward a process that is more objective, systematic, formal, public and comprehensive.

Purpose of the Study

Alberta Education in its Proposed Evaluation Policy of 1983 (Appendix 1) and Management Finance Plan of 1985 regarding teacher evaluation (Appendix 2) recognized the importance of and the need for a sound performance evaluation appraisal system. Although teacher evaluation (along with student, program, school and school system evaluation) was mandated, the development and implementation

of the performance evaluation process was left to individual school jurisdictions.

The Edmonton Public School District assumed a similar position in its 1985 policy statement (Appendix 3) regarding performance evaluation. One of the guidelines stated, "The immediate supervisor, in consultation with staff, is responsible for developing, adopting and updating written procedures consistent with the district performance policy, guidelines and procedures."

Since the success or lack of success in the process of evaluating performance largely impinged upon personnel in leadership positions, the perceptions of those leaders towards performance evaluation would be extremely important.

The purpose of this study was to examine the topic of performance evaluation in general and to compare the perceptions of a number of principals to the perceptions of a sample of senior administrators related to performance evaluations in the Edmonton Public School District.

Design of the Study

A sample of ten of the thirteen senior administrators was individually interviewed in the fall of 1984 to gain information regarding their perceptions of performance reviews.

Model Design Used for the Study

Phase I	Designed the interview questions to be used with a sample of senior administrators.
Phase II	Conducted the interviews.
Phase III	Developed generalizations (from the interviews) that were representative of the perceptions of the sample of senior administrators.
Phase IV	Used the generalizations to develop a Principals' Perception Inventory (PPI).
Phase V	Compared the results from the PPI to the results (generalizations) of the interviews with the sample of senior administrators.
Phase VI	Summarized the findings, stated conclusions and made recommendations.

Figure 1

The perceptions of school principals, as related to performance reviews in general and their reviews in particular, were also gathered. Questionnaires were sent to a sample of one hundred and fourteen principals out of a total population of one hundred and fifty-three. Ninety-four of the one hundred and fourteen principals completed the inventory. Two inventories were returned with explanations of why the principals could not complete them. The data were collected in the winter of 1984-85.

Significance of the Study

Evaluation, if it is to be effective, must occur at all levels. H. Robert Olds (1983:80) wrote that it has become "increasingly necessary for all administrators and supervisors to systematically improve the performance levels of all those employed in education -- including the administrators themselves."

Thus, not only is performance evaluation in education an important and timely topic, but the views and perceptions of educational administrators, supervisors and principals towards the process are important as well.

This study may provide some insights and suggestions to school jurisdictions or individual schools to help restructure or build an effective employee evaluation program.

Definitions

1. Objectives - statements of either specific results to be achieved in a specified time period or targets for growth.
2. Performance Evaluation - a process intended to help management make more effective decisions regarding personnel. Performance evaluations are judgemental in nature.
3. Performance Review - a process to enhance professional and personal growth. Performance reviews are diagnostic in nature.
4. Senior Administrators - refers to that group of people who held designations of "superintendent", "executive assistant to the superintendent" or "associate superintendent".

Since the district documents originally included the term "performance reviews" and now include the term "employee evaluation", the two terms will be used interchangeably in this thesis.

Delimitations

The study was delimited in the following ways: (1) The study was conducted in a large urban district using that district's policies and guidelines for evaluating performance. Therefore, results should not be generalized to other populations. (2) Although all six area associate superintendents were interviewed, only four chose to have the principals in their

respective areas participate in the study. This sample represented approximately two-thirds of the principals in the district at that time.

Limitations

The interview method of gathering data placed some limitations on the study. Comprehensive notes were taken during the individual interviews with the senior administration and generalizations were made from these notes. These written generalizations were returned to the participants for their perusal and editing. (Because of this process, it was assumed that the reported perceptions were relatively accurate.)

A second limitation, of using the interview method, was the presence of the biases of both the researcher and the respondents.

Overview of the Study

In this chapter, Chapter 1, the purpose, design, and significance of the study have been discussed. In addition, the definitions, delimitations and limitations were presented. The organization of the next four chapters is as follows:

Chapter 2 includes a review of the related literature by covering the following topics; performance evaluation -- some definitions, uses or functions of performance evaluation, methods

or techniques used to evaluate performance, who should evaluate, problems with performance evaluation, key concepts of an effective performance evaluation plan and implementation and evaluation of the performance evaluation process.

Chapter 3 on Methodology includes a design of the study, a description of the instrumentation (the interview and the inventory), a collection of the data and a data analysis.

Chapter 4 is presented in two parts. First, interviews were analyzed allowing a number of generalizations to be stated that were indicative of the perceptions of a sample of senior administrators; second, the perceptions of the sample of principals are presented in twenty-four discrete tables. The summary of the findings is presented by using three tables that indicate which items have a low, medium and high level of agreement when analyzing the comparisons of the perceptions of the two sampled groups.

Chapter 5 summarizes the findings, states conclusions and makes recommendations for improving the employee evaluation process as used in the Edmonton Public School District.

Chapter 2

A Review of the Literature

Introduction

Evaluation of personnel is a very timely but complex task. Holley (1985:39) claimed, "it is one of the most complex duties of any administrator." Manatt (1985:5) claimed that Barak Rosenshine used to get a roar of laughter from people when he would say, "There are three eternal quests of mankind: the Holy Grail, the fountain of youth, and the search for a valid and reliable means of evaluating teaching!" In spite of the difficulties, evaluating performance has been and will continue to be done. Steers (1981:400) reported, "A recent survey by Locke and Teal found that 90% of organizations contacted had some form of performance appraisal system."

Some systems were implemented by choice, others imposed; some were simple, others elaborate; some were introduced to make people accountable, others for personal and professional growth; some were highly successful, others dismal failures.

What is performance appraisal? Devries (1981:2) described it as "the process by which an organization measures and evaluates an individual employee's behavior and accomplishments for a finite period of time." A similar definition was used by Alberta

Education in their Program/Policy Monitoring Handbook, Special Needs Programs, (1985:49) which stated: "'Evaluation' provides a judgement regarding the adequacy of results in relation to standards and objectives. Its prime purpose is to improve performance."

A more comprehensive definition of evaluation was advanced by DeRoche (1981:4) when he wrote:

> There are two kinds of evaluation: formative and summative. Formative evaluation refers to gathering and using information during the process of doing something. It is on-going, requiring continued feedback for decision making and change along the way. Summative evaluation refers to gathering and using information at the end of something. D. Stufflebean suggests that there is a relationship between formative evaluation and decision making and summative evaluation and accountability.

Some writers chose not to use a single uniform definition. Stanley (1974:1) argued that evaluation processes vary widely depending upon:

(1) the focus of evaluations (in other words, the evaluation criteria selected due to their assumed relationship to administrative effectiveness);
(2) the specific evaluation procedures and instruments utilized; and

(3) the general function of administrative evaluation within the industrial organization.

Ben Harris (1985:10) defined supervision of instruction as "what school personnel do with adults and things to maintain or change the school operation in ways that directly influence the teaching processes employed to promote pupil learning."

Purposes/Uses/Functions

There are many reasons for evaluating performance. Stanley (1974:2) claimed that "the purpose of evaluation has changed from a means of judgement to a medium of planning, job specification, communication, monitoring, coordination and recognition."

Four functions of performance appraisal were suggested by Newstrom (1974). These were to provide necessary feedback to co-workers, to use as a basis for decisions for promotion, to use as a motivational technique and to help open up the channels of communication between the supervisor and the subordinate.

Fournies (1974) stated many more objectives for management approval. Some of these were to let people know how they are doing, to judge a person's worth to the company, to identify training needs, to develop managers, to plan for promotion, to improve performance and effectiveness, to plan for manpower and to administer salaries.

Much of what has been written about performance evaluations has been written from a business or industry point of view. More recently educators have been extensively involved with evaluation of personnel. DeRoche (1981:4) described the purpose of evaluation as "the improvement of instruction and factors that influence instruction; namely, climate, programs, teaching style and personnel interrelationships."

Many writers in addressing the topic of performance evaluation examined the purposes of the evaluation system. MacDonald (1979:13) maintained that:

> There is near unanimous agreement that the purposes are two-fold:
>
> 1. evaluation of teaching to facilitate the improvement of instructions, and
> 2. evaluation of teaching to facilitate institutions' administrative decision making (whom to promote, increases based on merit, etc.)

Other writers have become much more specific in outlining purposes. Bolten (1979) listed nine purposes that were identified in the literature or found in school district policy manuals of procedure:

1. Improvement of teaching

2. Rewarding supervisor performance
3. Modifying assignments
4. Protecting individuals and the organization
5. Validating the selective process
6. Satisfying policy, law
7. Improving decisions
8. Providing a basis for career planning and
9. Contributing to morale and cooperation

Glickman (1985:4) thought that the "glue" of a successful school was supervision. He saw "glue" as being a good metaphor for effective school supervision.

> Glue is not glamorous and neither is supervision. When glue is doing its work properly - for example, by keeping a chair together - it goes largely unnoticed; so does supervision, when a school is functioning well. Glue does get attention when the legs of a chair collapse, just as supervision does when a school fragments and fails.
>
> With success, both glue and supervision are taken for granted; with failure they are both held responsible. This is as it should be. Teachers are in the forefront of successful instruction; supervision is in the background providing support, knowledge, and skills that enable teachers to succeed.

When improved instruction and school success do not materialize, supervision should shoulder the responsibility for not permitting teachers to be successful.

Ben Harris (1985:3) maintained there are two critical components that one sees at the central core of education - pupils and instruction. Therefore to analyze the operation of a school and to distinguish instructional supervision from other endeavors, instruction- relatedness and pupil-relatedness may be considered as two major dimensions. Supervision is highly instruction-related but only indirectly pupil-related. "Supervision is a major function of the school operation, not a task or a specific job or a set of techniques. Supervision of instruction is directed toward both maintaining and improving the teaching - learning processes of the school."

Many of the writers thought of supervision as a process that was directly related to the improvement of instruction. The Dictionary of Education defined supervision as:

> All efforts of designated school officials devoted toward providing leadership to teachers and other educational workers in the environment of instruction involves: the stimulation of professional growth and development of teachers, the selection and revision of education objectives, materials of instruction and methods of teaching, and the evaluation of instruction.

It would seem apparent that supervision is not merely a concept but it is also a process aimed at improving instruction either directly or indirectly and consequently affecting student learning.

Stanley (1974:3) determined that the range, variety and complexity of purpose for administrative evaluations are illustrated by the following selected examples:

To help or prod supervisors to observe their subordinates more closely and to do a better coaching job;

To motivate employees by providing feedback on how they are doing;

To determine the degree of information and skill possessed by the administrator in his role as an educational leader;

To determine the "degree to which his decisions are sound, timely, and effectively carried out";

To determine to what extent his decisions are shared by those significantly affected by those decisions;

To determine the extent to which super-ordinates, co-ordinates, and subordinates are kept informed at all times of all decisions on a need-to-need basis for effective operation at each level;

To point up continuing education needs;

To establish objectives for school-based administrator improvement or for emphasis on indicated areas;

To establish a procedure by which long-range goals of the school district can be translated into goals for effective performance for individual employees;

To motivate self-improvement;

To facilitate mutual understanding between superior and subordinate;

To determine whether the organization should transfer, demote or dismiss personnel;

To establish compensation that is partially based on performance;

To enable managers to see the requirements of their jobs more clearly;

To provide an official record of the principal's performance;

To sensitize the director and other central office personnel to the problems and needs of the building principal;

To offer suggestions and assistance to the principal for the improvement of the educational program in his school;

To contribute to good morale by demonstrating just and equitable personnel practices;

To facilitate communication and cooperation among school based administrators and other members of the profession, students, and the community; and

To appraise the effectiveness or adequacy of human and material supports for principals and assistant principals.

Methods/Processes

Because the functions of evaluation are so important, Steers (1981) contended that it is of utmost importance that the methods of evaluation be selected to maximize both the accuracy and the fairness of the performance appraisal. Patten (1981:21) claimed

> Any seasoned manager knows that, when using performance appraisals for developing human resources, individual employee development depends only to a minor extent upon the particular form of paperwork used. The major variable affecting employee development is usually the quality of the give and take in the relationship between the manager and employee.

This view is certainly supported by McGreal (1983:8). In discussing procedures for evaluation he stressed the importance of the individual relationship between the supervisor and the teacher. "Experience shows that a positive, supportive relationship between a knowledgeable supervisor and a teacher is still the most effective way to provide improved instruction."

Darling-Hammond et al (1983:303) in discussing evaluation of teachers concluded in general that:

> Teacher evaluation procedures most suited to accountability purposes must be capable of yielding fairly objective, standardized and externally defensible information about teacher performance. Evaluation processes useful for improvement objectives must yield rich, descriptive information that illustrates sources of difficulty as well as viable courses for change. Teacher evaluation methods designed to inform organizational decisions must be hierarchically administered and controlled to ensure credibility and uniformity. Evaluation methods designed to assist decision making about individuals must consider the context in which individual performance occurs to ensure appropriateness and sufficiency of data.

It should be recognized that some processes of evaluation are inconsistent with other processes and also inconsistent with some

purposes for evaluation. Although many people advocate a multi-faceted approach, the purposes that are to be served by each method must be constantly kept in mind.

A brief look at some of the approaches to evaluation along with a summary of issues related to each approach follows. However, it is apparent that the approaches used to evaluate teachers seek to measure different aspects of teaching and the teacher. In addition there are varying thoughts on how one demonstrates, recognizes and measures adequacy. The approaches to evaluation currently in use are:

CLASSROOM OBSERVATIONS - This is probably the most widely used process along with teacher interviews. The techniques used to observe vary considerably as do the length and number of visits. A host of different standardized instruments are available to guide the observer. Although it is advantageous to see people in a school setting one must recognize that there may be obvious bias, poor measurement instruments or an insufficient amount of sampling.

COMPETENCY TESTS - This notion has gained popularity in the United States. It seems to be used more for initial certification and hiring. Quirk, Witter and Weinberg (1973) found no consistent relationships in a review of studies that examined the relationship between the National Teacher Examination scores and measures of teacher performance.

FACULTY SELF-EVALUATIONS - They are often used as a method to gather information and as a source of motivation in a broader evaluation program.

INDIRECT MEASURES - Although King (1981:174) reviewed the research literature on teacher personality and characteristics and concluded that "no single act of skills, attitude, interests, and abilities has been found to be able to discriminate between more effective and less effective teachers", she argued that indirect measures ought to be a source of supplementary data for teacher evaluation.

PEER REVIEW - Peers' examining artifacts and doing classroom observations are seldom used even though the literature describes several advantages.

RESULTS APPROACH - is sometimes referred to as an objective-centered approach. An administrator or teacher is expected to achieve extra performance objectives. The theory is that an educator's performance can be observed and evaluated more meaningfully because results are compared to objectives set by the educator, or the educator and supervisor. Coaching and counselling are an integral part of this approach.

STUDENT ACHIEVEMENT - The prime concern in education is student learning and to some educators this would indicate that student results are the only true indicator of teacher effectiveness. However, others argue that these results ignore or can be counter productive to other desirable outcomes.

STUDENT/TEACHER RATINGS - These measure teacher performance from a student's point of view. These ratings are inexpensive and have a high degree of reliability. However, questions about their validity and utility have limited their acceptance for teacher evaluation.

TEACHER/ADMINISTRATOR INTERVIEWS - These have been prevalent in the past and are often the foundation for other processes or methodologies. One standardized interview for teachers is the Teacher Perceiver Interview (there is also one for administrators called the Administrator Perceiver Interview). To date there is no empirical research to show that instruments can identify effective teachers/administrators.

TRAIT APPROACH - The initial assumption to this approach is that almost all educators show both traits and habits that typify their individual styles of performance and concludes that these traits have a significant effect on teaching and administering. Various traits deemed to be desirable are identified and used as a basis for the evaluation. This is usually done before the program is put into operation. Forms are prepared, observations are made, data are collected and judgements are made usually on a rating scale.

Four phrases often used as synonyms were defined by Medley (1982:304) as follows:

> Teacher competency - refers to any single knowledge, skill, or professional value position, the possession of which is believed to be relevant to the successful practice of teaching. Competencies refer to specific things that

teachers know, do or believe but not to the effects of these attitudes on others.

Teacher competence - refers to the repertoire of competencies a teacher possesses. Overall competence is a matter of degree to which a teacher has mastered a set of individual competencies, some of which are more critical to a judgement of overall competence than others.

Teacher performance - refers to what the teacher does on the job rather than to what she or he can do (that is, how competent he or she is). Teacher performance is specific to the job situation; it depends on the competence of the teacher, the context in which the teacher works, and the teacher's ability to apply his or her competence at any given time.

Teacher effectiveness - refers to the effect that the teacher's performance has on pupils. Teacher effectiveness depends not only on competence and performance, but also in the responses pupils make. Just as competence cannot predict performance under different situations, teacher performance cannot predict outcomes under different situations.

Two widely discussed and often used models of evaluation are Manatt's (1976) and Redfern's (1980) "Mutual Benefit Evaluation" and Redfern's "Management by Objectives Evaluation". These models are similar in that: they set goals or objectives; the evaluatee

is involved in the process and centralized standards and criteria have been identified. Manatt's model includes four distinct steps:

a) the district identifies minimum, acceptable standards for teachers/administrators.

b) a diagnostic evaluation is done to compare the actual with the desired. Manatt advocates the use of students, peers, a principal and self-evaluation.

c) with the cooperation of the evaluatee, the evaluator sets job targets. These targets should be specific and measurable in an objective manner.

d) after a specified period of time the evaluatee is re-evaluated and new job targets are set.

Redfern borrowed his "Management by Objective" from business and applied it to education. The evaluator and evaluatee jointly established individual objectives, an action plan, and measurable progress indicators. The action plan is monitored through formative as opposed to summative observations.

Clinical supervision has components that are structurally similar to the above but may be more informal in setting performance goals. It is generally agreed that because there is more one-on-one dialogue used, it is more time consuming.

Some districts maintain that no single process will meet the needs of the district. They use different processes for evaluating experienced versus inexperienced teachers which are different again from those used to make the original employment decision.

Who Should Evaluate?

There is as much debate about who should evaluate as there is about the process to be used. Glickman (1985:6) saw supervision as a process and a function, not a particular person or a position.

> Anyone with direct responsibility for improving classroom and school instruction is referred to as a supervisor. Typical supervisors are school principals, assistant principals, instrumental lead teachers, department heads, master teachers, program directors, central office consultants and coordinators, and associate or assistant superintendents. In some schools principals focus on administration while others are assigned to supervision. In other schools the opposite is true. The principal is the instructional leader with others focusing on overall administrative functions within the school. Much of the literature on effective schools supports the notion that behind each successful school is an effective supervision program. Somebody within that effective school is responsible for and committed to the process, function, and the tasks associated with supervision.

Patten (1981:83) viewed performance appraisal as a part of a manager's responsibility and stated, "All newly appointed managers should receive this basic performance appraisal training soon after their appointment as managers so that they are prepared to handle employee appraisals as scheduled." Patten thought that performance appraisal workshops would make managers more open, authentic and help focus on problem-solving. "Any organization that embarks upon performance review as a human-resource/personnel system should be engaged in the process of creating a way for people to evaluate people that is just, rational, economical, efficient and lawful."

In describing the preparatory aspects from the standpoint of the appraiser Patten (1981:112) suggested that the appraiser should ask a number of questions some of which include:

> How have I determined that the responsibilities and duties on the form adequately describe the job that the employee is actually performing?
>
> What have I done from day to day and in formal sessions with the employee so that he knows what his specific position responsibilities are?
>
> What have I done to make certain that the employee knows the quality of work expected of him?
>
> What measures have I taken to be certain that the performance incidents, trends, and on-the-job behavior cover the entire period since the last review and constitute a representative sample?
>
> What methods and techniques were used by the employee to carry out his specific assignments?
>
> What have I done to evaluate the strong and weak points and to avoid evaluating all aspects of the employee's work as average?

> What have I done as a manager to help carry out plans for improving the performance of the employee that were made at the last performance appraisal interview?
>
> What circumstances exist that are beyond the employee's control and are affecting his performance?
>
> What measures have I taken to make sure that his performance review represents the best unprejudiced estimate of the employee's typical performance in the period covered?
>
> Why has the employee performed at the level he has for the period covered?

In addition, the appraiser should be able to articulate his observations in a clear and concise way.

While Devries (1981:62) argued that "the conclusion is that no single performance rater is better than the employee's immediate supervisor," Harris (1985:111) saw an advantage to many supervisors.

> The complexity of the educational operation combines with the crucial importance of supervision to necessitate the involvement of nearly all professional school personnel. Modern educational organizations that hope to maintain their effectiveness as institutions of learning must involve administrators, supervisors, teachers and special service personnel in the activities of supervision of instruction.

Evaluation is on-going and is done on an informal basis both in and out of school every day. Legally the building principal is

the chief administrative officer, the supervisor and the decision-maker. Because of this DeRoche (1981) maintained the building principal has the major responsibility for formalizing the evaluation process. A principal's attitudes and procedures can make the evaluation program an enlightening, interesting, exciting venture or one that is frustrating, based on fear, and viewed negatively by those involved.

What the principal does and how it is done determines, to a large extent, the effectiveness of the school district's and an individual school's evaluation program. Therefore, the following guidelines are suggested by DeRoche (1981:7) as the administrator carries out his role in the evaluation process:

1. A principal must be knowledgeable about the school district's goals and objectives.
2. A principal has to assist the superintendent in effectively carrying out the policies and procedures resulting from the school district's goals and objectives.
3. A principal should demonstrate leadership in formulating plans and procedures for the evaluation of these goals and objectives.
4. A principal must provide the students, parents, and teachers with the necesary information about the district's and school's evaluation program.

5. A principal must capitalize on the talents of the faculty, parents, students, and community personnel in helping formulate plans and procedures for carrying out the evaluation program at the individual level.
6. A principal has to provide a plan and secure resources for helping personnel get the job done.

In order to help the principal in his role as an evaluator DeRoche (1981:7) made the following suggestions:

1. Assess your current knowledge about evaluation.
2. Improve your knowledge and attitude about evaluation.
3. Find out how other principals plan for evaluation.
4. Determine what skills you have and what you will need for evaluating your school's programs and personnel.
5. Determine how your faculty and staff feel about evaluation.
6. Find out what knowledge and skill your faculty and staff have about evaluation.
7. Compare your current evaluation procedures with those suggested in this chapter and other chapters.
8. Promote a positive view of evaluation in the school and community.
9. Encourage self-evaluation techniques among school personnel including students.

Feinberg (1961:130) said the goal of appraisal is nothing less than constructive change. His suggestions were:

1. Know yourself
2. Know the job
3. Know the employee (needs, wants, strengths and weaknesses)
4. Listen
5. Stress acceptance
6. Don't hold back criticism
7. Observe limits
8. Emphasize growth on the present job
9. Know what race you want him to run
10. Agree on goals
11. Set up a timetable.

Problems

Most problems with performance appraisal systems stem from validity and reliability according to Steers (1981:403). Five such areas are:

1. Central tendency error
2. Structure or leniency error
3. Halo effect
4. Recency error
5. Personal biases.

Newstrom (1974) saw evaluation problems as somewhat more complex. They can result from supervisors being inadequately trained, subordinates being uncooperative, interviews being too short, interviews being uncomfortable and strained, subordinates being unclear about objectives of the interview, supervisor not being prepared for the interview, supervisor and subordinate being in conflict about the boundaries of the subordinate's job.

Another major problem is paper-laden systems. According to Patten (1981:19) the death of many performance appraisal systems and the failures of others to be born has been caused by human-resource experts who have created complex paper-laden systems. He goes on to explain that:

> We have already seen appraisal as a tool of performance planning and control. The approach is also based upon the assumption that managers are responsible for the development of subordinates who report directly to them. One of the most efficient ways for managers to develop subordinates is to keep them clearly informed of their responsibilities and of how well they are performing in those areas.

Job descriptions can also lead to problems if they are not clear, concise and accurate. As Patten (1981:39) pointed out:

> On the one hand, we need to define employee performance expectations and standards within the confines of the

up-to-date job description. Yet the better managers and professionals may be constantly expanding the boundaries of their job, thereby making the job description out of synchronization with the actual world of work.

In a more general sense, Harris (1985:41) discussed the age old problem of dealing with change.

> Dynamic supervisory behavior is concerned with the difficult tasks of improving rather than maintaining teaching practices that promote pupil learning. A variety of approaches to improvement in teaching are possible, including changes in any and all aspects of the environment in which the school operates.
>
> Basic to change is leadership. In education, instructional leadership is faced not only with the problems of implementing appropriate change processes but also with the problems of dealing with resistance to change. Resistances to change are real, normal, and substantial. They can be dealt with by recognizing fallacies, accepting the natural character of resistance, resolving to cope with them systematically, and developing tolerance for the turbulence that is inevitably a concomitant of change.

Acheson and Gall (1980:88) pointed out a number of issues organized around four areas:

1. Conflict between teachers and supervisors
2. Problems in supervisory conferences and observations
3. Time for supervision
4. Role of the supervisor.

One of the major problems that has plagued many districts is that of not involving the participants. It is a "laid-on" event. In his work with over 200 school districts, McGreal (1980:414) pointed out he has seen the consternation first hand.

> While many districts have mandated the process, most have neglected to provide even minimum amounts of training to supervisors and teachers in how to set classroom instructional goals effectively. In my experience, the success of any evaluation/supervising system is directly related to the training the supervisors and teachers have had to help them become informed participants in the process.

Perhaps one of the biggest reasons for failure of performance appraisal systems is that the many purposes are often incompatible. DeVries (1981:12) maintained that, "performance appraisal is being called on to do more than it is capable of delivering." An example is that the purposes have expanded but the methods have not changed.

It can be said that educators are in agreement with the general purpose of evaluation: to safeguard and improve the quality of instruction received by students. McGreal (1983) asked if all this agreement exists, why does teacher evaluation remain an extraordinarily controversial and descriptive influence within local school settings? In most instances the difficulties arise not with the concept or the general purposes, but from the way the evaluation is carried out. Actual evaluation is most often directed by the requirements of the evaluation system. And herein lies the trouble, because in many cases the system is the problem.

This is not surprising. Certainly the major difficulties associated with developing effective teacher evaluation systems are well- documented. McGreal (1983:6) shared some.

> They include such things as poor teacher-supervisor attitudes toward evaluation (Wagoner and O'Hanlon, 1968), the difficulties in separating formative and summative evaluation (Raths, 1982), inadequate measurement devices (Popham, 1981), lack of reliable and consistent teaching criteria (Travers, 1981),the lack of reliable data collection techniques (Scrive, 1981), the fallibility of standard feedback mechanisms (McKeachie, 1976) and the general lack of training of teachers and supervisors in the evaluation process (McGreal, 1980). If time is spent reviewing the available literature, developing effective teacher evaluation systems seems a hopeless task.

Regardless of these difficulties, most regular school systems must have a functioning evaluation system. Whether the mandate is legislative, contractual, political, or professional, the average school must be able to point to some systematic procedure to monitor the performance of its employees.

Parry (1978) discussed some of the difficulties inherent in evaluating human performance. The following list (Appendix 4) helped to demonstrate the shortcomings of appraisal systems designed to meet the needs of both the organization and the individual.

Key Aspects

Perhaps one of the more comphrensive lists of basic principles of evaluation was produced by DeRoche (1981).

1. Evaluation should help clarify the school's goals and objectives and the extent to which these are being accomplished.
2. Evaluation is a cooperative, team function and should be seen in a positive, optimistic way.
3. Evaluation should be an ongoing, continuous process.
4. Performance evaluation should be required of all school personnel.

5. Performance evaluation should be honest, open, and free from threats.
6. Evaluation should contribute to the improvement of attitudes, relationships, and morale.
7. Program and performance improvement should be the major purpose of a school's plans for evaluation.
8. Time, assistance, training, and an appropriate budget should be provided to each school for evaluation purposes.
9. Evaluation should help school personnel develop both short range and long range plans.
10. Evaluation should contribute to program and behavior changes.
11. Self-evaluation strategies should be an integral part of any school evaluation plan.
12. External evaluation plans (accrediting agencies) should contribute to and help with internal evaluation plans.
13. Evaluation should be a humane process designed to determine the strengths and weaknesses of programs and personnel.
14. Through the evaluation process teachers, parents, students, and citizens should be able to clarify and understand the objectives and programs of the school.
15. The evaluation process should promote a positive attitude toward self-appraisal and self-improvement.
16. The evaluation program should provide opportunities for school personnel to diagnose difficulties, strengthen existing programs, and establish pilot programs or projects to test new approaches.

17. Evaluation should be a process that will help teachers and learners determine the extent to which each has been successful in the teaching-learning process.
18. Evaluation should encourage a team effort, a cooperative spirit, and a feeling by the community that we are all accountable for the education of our young people.

Both McGreal (1983) and Davis (1976) agreed that using a system of mutual goal setting to set up performance standards for workers is crucial. Davis goes on to say that during the evaluation interview the supervisor should concentrate on performance not personality. He stresses that while the evaluative interview is important, the relationship he establishes with each of his subordinates is of utmost importance. The supervisor should think of himself as a counsellor -- not a dictator -- when he sets performance goals and corrects on-the-job behavior. Remember that praise can be a potent supervisory tool if it is used properly. Words of advice from Ferraro (1975:147) are as follows:

> Face up to each review, tough and easy alike, and apply fair, acceptable standards of performance. Concentrate on what really counts in quantifying and qualifying performance and be as objective as you can in your evaluation. Realize that the evaluation form doesn't fit everyone and treat every person as an individual. Get all the mileage you can out of review sessions. They don't occur frequently. Most important of all be honest.

Patten (1981:35) stated an important goal, in any company or agency, should be for the employees and managers to "own" their performance appraisal system. It will be difficult for them to do so if it is an unstable entity. He went on to point out:

> To obtain results through people, the manager must know the employees who report to him, must communicate clearly with them, and must know how to handle the formal appraisal interview itself. There should be no surprises in the formal interview - at least no major surprises. The formal setting should be used to merely recapitulate over the days, weeks, months and years. Such a view then places on the record what the employee has long hungered to hear officially: how well is he doing?

The Leadership Liaison Task Force commissioned by the Pennsylvania School Boards Association (1982) suggested a philosophy and guidelines for a school district to use in establishing an administrative evaluation/ cooperation plan. (Appendix 5)

Implementation and Evaluation

How the evaluation process is implemented is as important as the process itself. DeVries et al (1981:95) maintained that:

> How a performance appraisal system is put into place is as critical as what the technology of that performance appraisal

system is. It further assumes that just as performance appraisal on the individual level is a process and not a series of isolated events, putting a performance appraisal system into place is also not an event, it is a process of organizational interventions.

Many people including DeVries (1981) recommended the use of a design team to help design, implement and evaluate the performance appraisal process. This team should include outside consultants, people from the personnel department along with managers and employees. The team should examine a maximum of four areas:

1. Before the model for performance evaluation is designed, identify and evaluate the current situation with respect to performance appraisal.
2. Evaluate the organizational context:

   Will it be consistent with management philosophy and practice? Will it produce a conflict with the nature of managerial work? Mintzberg (1973) pointed out that managerial work is brief, varied and fragmented while performance appraisal is long, planned, formal, intense and concentrated.

   Will it comply with legal requirements? Who will be responsible for its administration?

What is the relationship to other human resources programs?

Does it have the support of top management?

3. Determine the basic design parameters.

4. Develop a complete design.

Draft an organizational performance appraisal policy.

Conduct job analyses.

Develop appropriate forms and work sheets.

Establish monitoring procedures.

Make necessary links with other human resource programs at policy and procedural levels.

Assess information and skills needed for training.

Test out the measurement/feedback/training needs/monitoring loop to see if it fits together.

Once the design team has completed the design the area of installation process needs to be considered. This process consists of two parts:

1. Training Programs

Here DeVries (1981) pointed out that two sets of skills are critical

a) performance measurement or rating skills

b) feedback or communication skills

A third should be added: teaching employees to set goals.

2. Pilot Testing

According to Harris (1985:107), a key factor in the success of any change is the method/process used in the implementation.

> When the supervisor turns to the demanding task of supervision as an agent of change rather than as a mere maintainence person, the complexities, resistances, and constraints decree careful planning. But the best-laid plans are of little value until they become implemented realities. The strategies we develop are tools for implementing change.

The Leadership Task Force commissioned by the Pennsylvania School Boards Association (1982) said that once a board has decided to adopt an evaluation plan they should consider a specific plan of action. (Appendix 6)

Newstrom (1974:9) gave a number of suggestions to the employee that he felt would help both the employee and the supervisor in the initial stages of the process. They are as follows:

1. Decide you are going to get as much as possible from the interview.
2. Relax.
3. Understand the criteria your supervisor used to evaluate you.
4. Anticipate criticism.
5. If possible quantify your performance.
6. Do a self-appraisal to present your side of the story.

When concluding the interview ask for guidance, establish performance goals for the next review period and ask the supervisor to provide feedback as often as he can.

Finally we must evaluate the process. DeVries (1981:108) suggested the following questions.

1. Was the system introduced and installed as designed?
2. Are employees using the system as it was designed to be used?
3. Are the systems intended purposes and outcomes being accomplished?
4. Does the performance appraisal system fit within the organizational context, particularly in terms of other human resources programs?

He went on to purport that effective performance appraisal is rarely a cure. Implementation of a performance appraisal system requires that employees have:

a) at least one good reason to try it;

b) adequate skills to use it; and

c) a way to make it an ongoing part of their job.

Lewis (1973:179) in discussing his objective-centered or results approach to performance evaluation pointed out that the place to begin installation of the program is at the top. Any

successful evaluation program has to have the endorsement and support of the top administrator in the organizational unit. He maintained that implementing a results approach for performance evaluation was a complex task. "Perhaps the most important step towards implementing such a program is through the formation of carefully developed and comprehensive procedural guidelines for initiating the program." Because human beings are involved in the process, the success or failure of the program rests with each person since each individual is a variable which can enhance or destroy the program. Figure 2.1 delineates his model for implementation of a performance evaluation program based on the objective-centered approach.

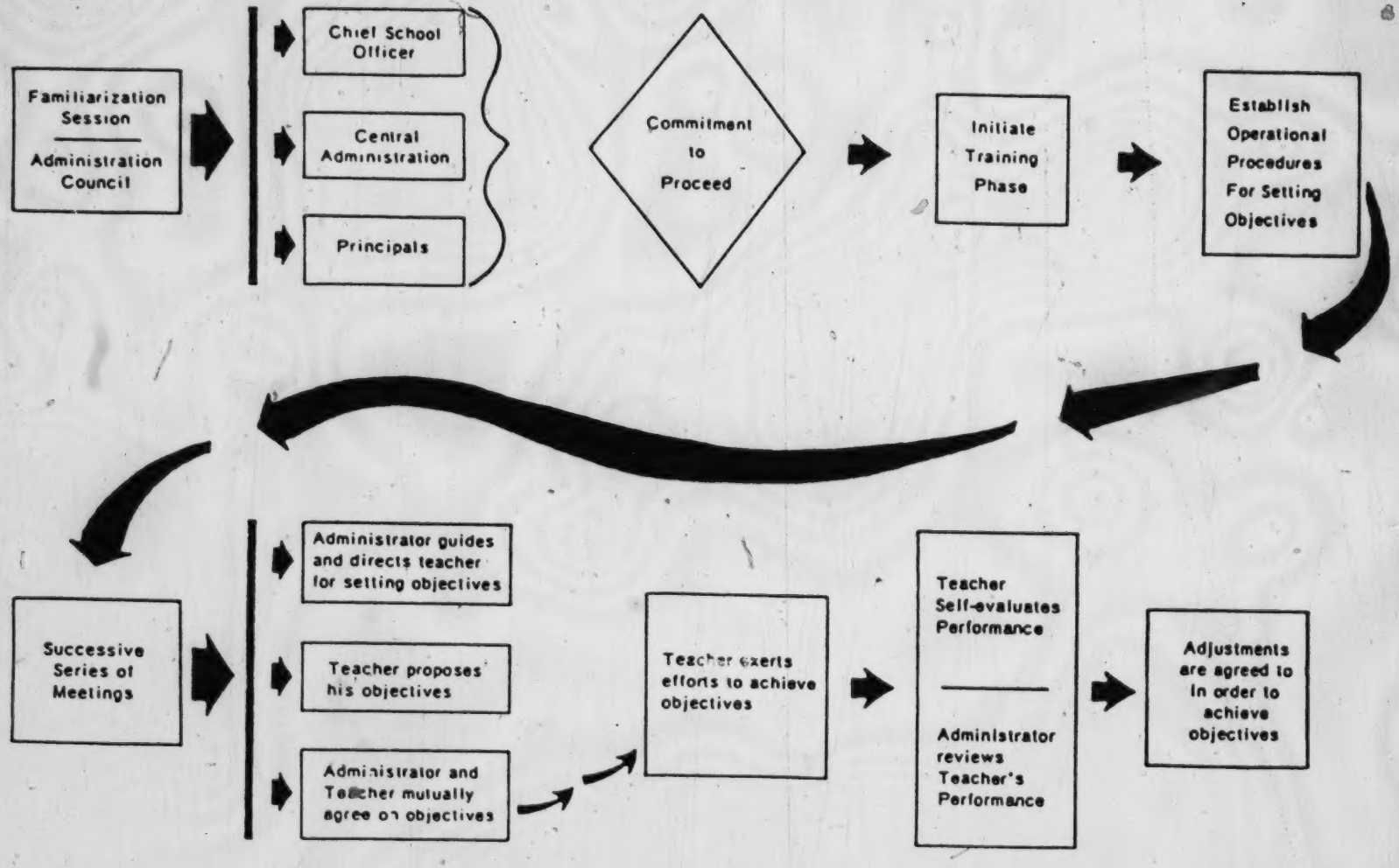
Familiarization Session
Administration Council
Chief School Officer
Central Administration
Principals
Commitment to Proceed
Initiate Training Phase
Establish Operational Procedures For Setting Objectives
Successive Series of Meetings
Administrator guides and directs teacher for setting objectives
Teacher proposes his objectives
Administrator and Teacher mutually agree on objectives
Teacher exerts efforts to achieve objectives
Teacher Self-evaluates Performance
Administrator reviews Teacher's Performance
Adjustments are agreed to in order to achieve objectives

Figure 2-1 PROCEDURES FOR INSTALLING THE OBJECTIVE-CENTERED PERFORMANCE APPRAISAL PROGRAM

Chapter 3

Methodology

In this chapter the design of the study will be discussed. Then the development of the interview questions and the Principals' Perception Inventory will be presented. As well, the collection of data and the data analysis will be described.

Design of the Study

The study was designed to facilitate a comparison of perceptions of two groups of educators within the Edmonton Public School Distict regarding performance evaluation. The perceptions of a sample of senior administrators were compared to the perceptions of a sample of principals.

Because of the small number of senior administrators within the district (thirteen), the interview method was used to gather the data. This process was selected because it was felt that two way communication would provide more accurate data. Participants in this group were individually interviewed to gain an appreciation for their perceptions regarding performance evaluation. Comprehensive notes were taken during each interview. The results of the interviews were analyzed and a number of generalizations about performance evaluations were extrapolated. These generalizations were then reviewed by the participating senior administrators to ensure their accuracy.

Because of the large number of principals involved, the interview method was deemed inappropriate. An inventory for obtaining the perceptions of a sample of principals was then developed. Participants were asked to respond to twenty-four statements about performance evaluation. The perceptions of the samples of the two groups, the senior administrators and the school principals, were then compared.

Instrumentation

Interview questions to be asked of a sample of senior administrators and statements to be responded to by a sample of principals were developed. The questions and statements were related to the area of performance evaluation. After an examination of Alberta Education's and the Edmonton Public School District's performance evaluation documents was completed and a thorough review of the appropriate literature was conducted, the interview questions to be used with the sample of senior administrators were formulated. The statements used to obtain principals' perceptions regarding performance evaluation originated from the generalizations gleaned from the interviews with the sample of senior administrators.

Interviews

In order to comprehend the perceptions of the sample of senior administrators about performance evaluation, a number of questions were asked. Each of the participants were asked the following questions:

1. Why do we evaluate?
2. What were the procedures or processes used?
3. What format was used to report the results of the performance evaluation?
4. With whom were these results shared?
5. Where were the evaluation interviews conducted?
6. Who set and/or approved the objective for your subordinates?
7. Who is(are) the best person(s) to monitor and review performance?
8. Did you encourage the use of self-evaluation? If so, how?
9. From whom did you gather information to do the performance review?
10. How many contacts were necessary to do a fair evaluation of a subordinate?
11. Did you convey the criteria to be used in evaluating performance? Were subordinates involved in establishing this criteria?
12. How important is it to evaluate performance?
13. How necessary is it to provide feedback to subordinates on an on-going basis?

Principals' Perception Inventory (PPI)

As stated earlier, the perceptions of a sample of senior administrators within the Edmonton Public School District regarding evaluation of performance led to the formulation of a number of generalizations. Some of these generalizations were used to generate a statement or statements that would allow for the analysis of the perceptions of a sample of principals. These statements were then

transformed into an inventory consisting of two parts. Part A required the principals to respond to twenty statements using a five point Likert scale. The responses were:

Stongly Agree	SA
Agree	A
Neutral	N
Disagree	D
Strongly Disagree	SD

For reporting purposes NR was used to indicate No Response. Part B consisted of four questions. Each question had a variety of responses. In addition, the last two questions provided for a combination of responses.

A draft of the inventory was reviewed and critiqued by two groups. These groups consisted of:

1. Eight classmates from the Department of Educational Administration, and
2. Five Edmonton Public School District employees who had administrative experience but were not a part of the sample.

To minimize ambiguity and maximize clarity, comments and suggestions from these two groups were incorporated into the final draft of the inventory. (Appendix 7)

The covering letter (Appendix 8) that introduced the study and accompanied the inventory was also signed by each principal's

supervisor. This was done to give support to the importance of the study in the hopes of increasing the response rate. A number of other factors for effecting a high response rate advocated by Borg and Gall (1983:427-429) were taken into consideration when writing the letter of transmittal. Some of these factors were:

1. Be neat and attractive.
2. Indicate the aim of the survey.
3. Offer some incentive - in this case a copy of the results.
4. Be brief and to the point (one page if possible).
5. Convey the importance of the survey to the respondent.
6. Use a letterhead if possible.
7. Use good quality photocopying.
8. Associate the study with some professional organization (in this case the Edmonton Public School Disrict and the Department of Educational Administration, University of Alberta).
9. Provide an easy method of return -- stamped self-addressed envelope.
10. Indicate time frame for completion -- usually a week.
11. Assure confidentiality.

Collection of the Data

The data were collected in two parts. The first set of data were ascertained from interviews with senior administrators.

Senior Administrators' Perceptions

During the fall of 1984 a sample of ten of the thirteen senior administrators was interviewed. Some of the senior administrators provided documents (Appendix 9) that they had used in the performance evaluation process. Each of the participants was asked the thirteen questions listed in the section describing Instrumentation. Often these questions generated other questions. Interviews lasted from sixty-five to one hundred and fifteen minutes. Notes were taken during each of the individual interviews and only those statements that were reflective of the perceptions of every participant were used to formulate the generalizations.

Principals' Perceptions

The Edmonton Public School District was divided into six smaller areas. These areas were lettered from A to F with each area having an associate superintendent. Four of the six area associate superintendents chose to have principals in their respective areas participate in the survey. Perception inventories were sent to the one hundred and fourteen principals and ninety-four of these principals returned usable inventories. (Table 3.1)

Since a response rate of 82% had been achieved within the timelines as stated in the letter of transmittal it was decided that follow-up letters would not be necessary. The number of questionnaires distributed and returned is presented in Table 3.1.

Table 3.1

Questionnaires Distributed and Returned

Area	A	B	C	F	Total
Total number of principals	29	34	31	20	114
Number of inventories completed	23	26	26	19	94
Rate of return (in percent)	79	76	84	95	82

Data Analysis

The data obtained from the interviews with the senior administrators were analyzed to detect common thoughts or themes. These common thoughts regarding performance evaluation were then formulated into a number of generalizations that were indicative of the perceptions of the sample interviewed.

The data obtained from principals resulted in ninety-four usable inventories. Two of the inventories were returned and had not been completed. The first included a note from an "acting for" principal indicating that the designated principal had been involved in a car accident and was not expected back in time to participate in the survey. The second was returned by a principal with the following note, "I felt that I was fairly comfortable with the idea of Performance Reviews. Since the latest meetings with the Superintendent

and Associate Superintendent the idea has changed from Performance Reviews to Employee Evaluation. This, I feel, is quite a different concept. Not knowing which concept you wish to address, I would rather not respond to the questionnaire."

Each item in the PPI had unanimous support from the sample of senior administrators. The percentage of agreement by principals to each statement was reported and discrepancies between senior administrators' and principals' perceptions were noted. The comparison of the perceptions of the two groups were then used to generate a list of conclusions and recommendations.

Chapter 4

Analysis of the Data

There are two major purposes to this chapter. They are as follows:

1) To report the results of the interviews and to formulate a number of generalizations that were indicative of the perceptions of the sample of senior administrators regarding performance evaluation within the Edmonton Public School District.

2) To report the perceptions (using twenty-four statements and tables) of a sample of principals within the Edmonton Public School District regarding performance evaluation. As well, each table will be used to compare the perceptions of the two sample groups of participants. Each table will be followed by a short discussion that relates the findings to the appropriate literature. A summary of the findings follows the tables.

Perceptions of Senior Administrators (The Interviews)

Once a review of the appropriate literature had been completed, a sample of senior administrators had been individually interviewed and a sample of principals had been surveyed, the findings were ready for analysis. The interviews with ten senior administrators allowed for the extrapolation of twelve generalizations that were indicative of the perceptions of the

total sample regarding evaluation of performance. These generalizations were as follows:

High Priority

1) The School Board and senior administrators saw performance reviews as having a high priority in the district.
2) A district objective was to have all employees participate in performance evaluations. It was anticipated that all certificated staff would have had performance evaluated by 1986.

Growth Oriented

3) The process of evaluating performance was perceived to be growth oriented; it was aimed at improving performance.
4) It was more important to place emphasis on the development of strengths than on the correction of weaknesses.

Objectives

5) Objectives or targets were set for the improvement of the organization and the personal development of the individual.

Evaluator

6) The best (most qualified) person to judge an individual's performance and to coach that individual was that person's immediate supervisor.

Format

7) The district had not adopted a standard form, check list or model for doing performance reviews. This was left to the individual responsible for doing the review.

Self Evaluation

8) Self evaluation was an integral part of evaluating performance. Subordinates were encouraged to do a self evaluation and guidance was provided for this to occur.

Partnership

9) Fewer misunderstandings occurred, if a) the supervisor and employee worked out the employee's objectives together, b) feedback was provided on an on-going basis, and c) the evaluation or final review was done jointly.

Confidentiality

10) Because information can easily be misinterpreted, the senior administration saw the need for confidentiality regarding the evaluation. The evaluator's immediate superior was able to request to see the report. In that eventuality, the employee was to be informed by his supervisor.

Time Lines

11) The decision units within the central administration and the

six geographical areas within the district operated on different time lines. One area associate superintendent mandated that principals review the performance of assistant principals and department heads. Another simply asked that it be done, while others didn't address the topic.

Purpose

12) The process of evaluating performance can serve more than one purpose. It may be used to promote professional growth as well as to make judgements regarding the level of satisfaction with an employee's performance.

Perceptions of Principals (The Inventories)

Since each of the questions asked of the principals were somewhat discrete in nature the information will be presented in twenty-four separate tables. Part A of the survey consisted of twenty statements where there was unanimous agreement by the senior administrators. Each table will show the number and percentage of the respondents who have agreed with the statement. Part B of the inventory consisted of four statements that provided a number of alternatives. Each statement was used to provide specific feedback to one or more of the four associate superintendents whose principals participated in the project. These statements were used to collect information from principals and were not to be used as a basis for comparison with the senior administrators.

Statement #1

"My associate superintendent conveyed to me that performance reviews have a high priority in the district."

Table 4.1

High Priority in the District

SA	A	N	D	SD	NR
67(71.3)	25(26.6)	0	1(1.1)	0	1(1.1)

Discussion

The four associate superintendents through group meetings and one-on-one interviews conveyed that performance reviews were important from a district perspective. This supported the position of the board since the board stated that "evaluation is critical to the maintenance and development of quality education."

The Leadership Liaison Task Force commissioned by the Pennsylvania School Boards Association in 1982 stated that evaluation plans should be adopted as Board policy and that evaluation of administrators is necessary to promote professional growth and ensure the attainment of individual and district goals.

Statement #2

"My associate superintendent conveyed to me that performance reviews have a high priority with him (her)."

Table 4.2

High Priority with Senior Administrators

SA	A	N	D	SD	NR
69(73.4)	22(23.4)	1(1.1)	0	1(1.1)	1(1.1)

Discussion

Again this supports the position that not only did the senior administration see performance review as extremely important but they were able to convey this to their subordinates. Devries (1981:98) in suggesting questions that a design team should ask (when evaluating the organizational context) queried, "Does it have the support of top management?" This position was also supported by Lewis (1973:34) when he wrote, "The most important condition that must be met in installing the objective-centered performance appraisal program is the support, endorsement or permission of the top administrator in the organizational unit where the system is to be implemented."

Statement #3

"My associate superintendent saw performance reviews as a means of improving performance."

Table 4.3

Evaluation Used to Improve Performance

SA	A	N	D	SD	NR
55(58.5)	36(38.3)	1(1.1)	0	1(1.1)	1(1.1)

Discussion

One of the reasons that senior administrators used for introducing performance reviews into the district was to improve performance. The principals' perceptions were consistent with the perceptions of the senior administrative staff who said that the process was growth oriented and was aimed at improving performance. This position was also supported by Stanley (1974) who saw it as a medium for planning and DeRoche (1981) who claimed one of the main purposes was to improve instruction and factors that influence instruction. Harris (1985) pointed out that supervision was directed toward maintaining and improving the teaching learning process of the school.

Statement #4

"My associate superintendent approved my objectives for the 1983-84 school year."

Table 4.4

Evaluator Approved Objectives

SA	A	N	D	SD	NR
38(40.4)	45(47.9)	8(8.5)	0	1(1.1)	2(2.1)

Discussion

Although the percentage of principals in agreement with the statement has dropped, there were over 88% of the respondents whose objectives were approved. It would be difficult to interpret results for the other 12%. A number of possibilities existed. Objectives may have been set by the principal but not shared with the associate; objectives may have been shared with but not approved by the associate; perhaps no objectives were set.

Manatt (1980), Redfern (1983) and McGreal (1983) also supported a goal (objective) oriented approach where the evaluatee is involved in the process.

As early as 1961 Feinberg pointed out that the employee and supervisor should agree on goals.

Statement #5

"My associate superintendent conveyed the feeling that he (she) was comfortable reviewing my performance."

Table 4.5

Evaluator Comfortable Doing Evaluations

SA	A	N	D	SD	NR
36(38.3)	40(42.6)	10(10.6)	3(3.2)	3(3.2)	2(2.1)

Discussion

A significant portion of the sampled population felt they had a supervisor who was comfortable doing performance reviews. McGreal (1983) was adamant that a positive, supportive relationship between a supervisor and an employee was the most effective way to get positive results. The same thoughts had been expressed in 1981 by Patten when he contended that the quality of the give and take between the employee and the supervisor was the major variable affecting employee development.

Statement #6

"My associate superintendent reviewed my performance solely on the basis of the written or agreed upon objectives."

Table 4.6

Evaluator Used Only Agreed Upon Objectives

SA	A	N	D	SD	NR
7(7.4)	23(24.5)	31(33)	27(28.7)	4(4.3)	2(2.1)

Discussion

A significant portion of the respondents felt that their performance was reviewed by using multiple data and not just the agreed upon objectives.

The Pennsylvania Leadership Task Force (1982) felt that job descriptions should be developed and maintained for all members of the team and should be used as a basis for job evaluation. This would be important since over 60% of the principal respondents thought that their day to day performance in managing their schools was also used to evaluate performance. (See Table 4.13)

Statement #7

"My associate superintendent encouraged me to do a self-evaluation."

Table 4.7

Evaluator Encouraged Self Evaluation

SA	A	N	D	SD	NR
24(25.5)	44(46.8)	13(13.8)	9(9.6)	3(3.2)	1(1.1)

Discussion

The use of self evaluation was strongly advocated by Manatt. Many of the principals (72.3%) felt that they had been encouraged, by their supervisor, to do a self-evaluation.

DeRoche (1981) felt that the evaluation process should promote a positive attitude toward self-appraisal and self-improvement and that self-evaluation strategies should be an integral part of any evaluation process.

In the Handbook of Teacher Evaluation (1981:180-200) a whole chapter by Carroll was devoted to Faculty Self-Evaluation. Carroll (1981:199) maintained that self-evaluation was essential and stated that "it can be instrumental in gaining faculty participation in the improvement of teaching."

Statement #8

"My associate superintendent provided guidance and direction for me to do a self-evaluation."

Table 4.8

Evaluator Provided Guidance for Doing a Self Evaluation

SA	A	N	D	SD	NR
4(4.3)	27(28.7)	29(30.9)	27(28.7)	6(6.4)	1(1.1)

Discussion

Although many of the principals (72.3%) felt that they had been encouraged to do a self-evaluation only 33.0% felt that their associate superintendent provided guidance and direction for this to take place. Bolton (1979:42) presented a number of questions that should be asked to determine if the elements needed are present in an evaluation system. One of the questions was "Does the evaluation system include a self-evaluation component?" He pointed out that the evaluatee should be involved in analyzing the situation, writing goals and objectives, deciding on types of useful information, in anaylsis and interpretation of the data, and in making decisions if it is necessary to make changes.

Statement #9

"My associate superintendent saw me as I see myself."

Table 4.9

Congruence of Perceptions Regarding Evaluatee

SA	A	N	D	SD	NR
16(17.0)	39(41.5)	23(24.5)	10(10.6)	5(5.3)	1(1.1)

Discussion

Although this is an interesting question, it is most difficult to interpret the feelings of the respondents. It is clear that 15.9% of the principals had perceptions of themselves that differed from the perceptions that the area associate superintendent had for that individual. This would be an area that would require further study before any concrete statements could be made.

Statement #10

"My associate superintendent gave me feedback throughout the year that helped me improve my performance."

Table 4.10

Evaluator Provided On-going Feedback

SA	A	N	D	SD	NR
16(17.0)	35(37.2)	22(23.4)	16(17.0)	4(4.3)	1(1.1)

Discussion

Only 54.2% of the population sampled felt that they were given feedback throughout the year that led to an improvement in their performance. Both Newstrom (1974) and Fournies (1974) saw providing feedback as an important aspect of a performance appraisal program. The notion of coaching (which implies a process rather than an isolated event) was advocated by Manatt (1976), Redfern (1980), Patten (1981), Glickman (1985), and Harris (1985).

Statement #11

"My associate superintendent did not include any surprises in my final review."

Table 4.11

No Surprises in Final Review

SA	A	N	D	SD	NR
43(45.7)	28(29.8)	11(11.7)	7(7.4)	3(3.2)	2(2.1)

Discussion

Over three-quarters (75.5%) of the surveyed principals who responded agreed that they were not given information in their final review that was surprising to them. It would seem that it would be most inappropriate for surprises to occur. Patten (1981:35) stated, "There should be no surprises in the final interview -- at least no major surprises." The formal setting should just be used to reiterate what has happened since the last formal appraisal and should be a composite of the informal feedback that has been given on an on-going basis.

Statement #12

"My associate superintendent provided a final review that would help me formulate my objectives for next year."

Table 4.12

Final Review Aided in Long Range Planning

SA	A	N	D	SD	NR
21(22.3)	39(41.5)	18(19.1)	9(9.6)	6(6.4)	1(1.1)

Discussion

"Evaluation should help school personnel develop short range and long range plans" according to DeRoche (1981:6). About two-thirds (65.8%) of the sample felt that their final review would help in the long range planning for professional growth or improved performance the following year. This position was supported by Manatt's four step "Mutual Benefit Evaluation" model. His fourth step clearly stated that after a specified amount of time the employee is reevaluated and new job targets are set.

Statement #13

"My associate superintendent reviewed my performance not only considering my objectives but also my day-to-day performance managing my school."

Table 4.13

Evaluator Considered Day to Day Performance

SA	A	N	D	SD	NR
25(26.6)	34(36.2)	20(21.3)	11(11.7)	3(3.2)	1(1.1)

Discussion

Since 62.8% of the principals felt that the day-to-day job performance was also used to evaluate performance, tasks identified in the Role and Responsibility Statements for Principals (Appendix 10) would also have been used. Again the Pennsylvania Leadership Liaison Task Force (1982) felt that the "evaluation should be based on individual performance within the organizational structure and specific job description as related to the district goals as adopted by the Board."

Statement #14

"My associate superintendent gathered information from some of my subordinates regarding my performance."

Table 4.14

Evaluator Uses Information From Subordinates

SA	A	N	D	SD	NR
13(13.8)	17(18.1)	31(33.0)	24(25.5)	8(8.5)	1(1.1)

Discussion

Only 32% of the principals surveyed felt that information had been gathered from subordinates. Manatt (1976) advocated information should be gathered from many sources including subordinates.

Statement #15

"My associate superintendent spent sufficient time with me to review my performance in a fair manner."

Table 4.15

Evaluator Spent Sufficient Time

SA	A	N	D	SD	NR
32(34.0)	24(25.5)	21(22.3)	14(14.9)	1(1.1)	2(2.1)

Discussion

The Leadership Liaison Task Force from Pennsylvania (1982) maintained that evaluation plans should be simple to administer and should not be time-consuming in actual implementation. Only 59.5% of the respondents felt that their immediate supervisor had spent enough time with them in order to do a fair appraisal.

Statement #16

"My associate superintendent knows my staff and community well enough to do a fair review of my performance."

Table 4.16

Evaluator Knew Staff and Community

SA	A	N	D	SD	NR
17(18.1)	38(40.4)	19(20.2)	16(17.0)	3(3.2)	1(1.1)

Discussion

Approximately 58.5% of the sample felt that their supervisors knew the community and staff well enough to be fair in the appraisal of the principal. Manatt (1976) felt that gathering data from many sources would result in a fairer appraisal. He included peers, students, subordinates, supervisors, and the members of the community.

Statement #17

"My associate superintendent made the purpose of performance reviews very clear to me."

Table 4.17

Purpose Made Clear

SA	A	N	D	SD	NR
35(37.2)	47(50.0)	9(9.6)	1(1.1)	1(1.1)	1(1.1)

Discussion

A high percentage (87.2%) of principals felt that their immediate supervisor had made the performance reviews clear to the individuals being evaluated. Because of the many purposes for using employee evaluation it was extremely important the evaluatees clearly knew why they were being evaluated. Bolten (1979:48) felt that written documents describing the background, the procedures, and forms to be used in the evaluation process should be available. "In these open documents all purposes should be stated clearly so that no one need wonder why the evaluation system was designed or what its intent is."

Statement #18

"My associate superintendent stated very clearly the criteria to be used in reviewing my performance."

Table 4.18

Criteria Made Clear

SA	A	N	D	SD	NR
20(21.3)	45(47.9)	20(21.3)	7(7.4)	1(1.1)	1(1.1)

Discussion

"The evaluation process should clearly state the standards against which the individual will be measured" according to the Pennsylvania Leadership Liaison Task Force (1982). About 69.2% of the respondents felt they had a clear understanding of the criteria to be used.

Statement #19

"My associate superintendent allowed me to have input into the criteria used for reviewing my performance."

Table 4.19

Principal Input Allowed for Criteria

SA	A	N	D	SD	NR
11(11.7)	37(39.4)	20(21.3)	20(21.3)	5(5.3)	1(1.1)

Discussion

Approximately one-half of the respondents (51.4%), felt they had input regarding the criteria to be used for reviewing their performance. Redfern (1980) insisted that the evaluator and evaluatee should jointly establish indvidual objectives, an action plan and measurable progress indicators.

Statement #20

"My associate superintendent has kept confidential the information regarding my performance."

Table 4.1

High Priority in the District

SA	A	N	D	SD	NR
44(46.8)	28(29.8)	18(19.1)	1(1.1)	1(1.1)	2(2.1)

Discussion

The general feeling of principals (76.6%) was that information was kept confidential. Only 2.2% felt that it was not and 2.1% did not respond.

The senior administration felt that because information can easily be misinterpreted, performance review information was to be kept confidential. Only the supervisor's immediate supervisor could request the information. In this case, the employee was to be notified of the superior's request.

The Leadership Liaison Task Force (1982) Pennsylvania made two statements regarding access to information. First, they felt that although evaluation is an administrative task the Board should have access to its results through its superintendents. Second, the process should include a review of results with the immediate supervisor.

Statement #21

"The number of meetings with my associate superintendent where the major emphasis was on performance reviews was"

Table 4.21

Frequency of Contact

Frequency of Contact	Principals	Percent
0- 5 visits	91	96.8
6-10 visits	1	1.1
11+ visits	1	1.1
No response	1	1.1

Discussion

Much of the literature pointed out the importance of the relevancy of the contact rather than the frequency of the contact. A well-planned "employee-owned" evaluation system should not be time-consuming.

Statement #22

"The best place to discuss my performance is"

Table 4.22

Territory for Doing Final Review

Territory	Principals	Percent
my office	23	24.5
in my school-but not my office	3	3.2
in the Centre for Education	9	9.6
in neutral territory	4	4.3
not important	54	57.4
no response	1	1.1

Discussion

Although the majority of the respondents (57.4%) had no strong feelings, the territory for the review was important for over 40% of the principals. Over one-quarter of the respondents (27.7%) felt the best place to discuss their performance was in their territory.

Statement #23

"Last year I used the following to review my performance"

Table 4.23

Sources of Data Used by Principals

Sources of Data	Principals	Percent
a self-evaluation	31	33.0
staff evaluation	6	6.4
student evaluation	0	0.0
community evaluation	0	0.0
a combination of the above	45	47.9
no response	12	12.8

Discussion

Much of the literature substantiated collecting data from many sources. DeRoche (1981), Harris (1985) and Manatt (1976) were all strong proponents of this concept. MacDonald (1979:8) contended that there were many sources of data that may be used. These included students, colleagues, administrators, the community, the alumni and self reports.

Statement #24

"The best person(s) to review my performance is (are)"

Table 4.24

Best Evaluator s)

Best Evaluator(s)	Principals	Percent
my associate superintendent	14	14.9
my staff	7	7.4
my students	0	0.0
my community	0	0.0
a combination of the above	57	60.6
other central district personnel	16	17.0

Discussion

The greatest number of responses indicated that a combination of reviewers would give the most desired results. Of the fifty-seven respondents who selected a combination, two respondents did not specify the desired combinations.

All but two felt the associate superintendent should be involved. Thirty-three principals felt that the performance review should be done by all of the stake holders i.e. associate superintendent, the staff, the students and the community.

Of the sixteen people who mentioned other district personnel, eleven suggested members of the student services team. The five others advocated the use of members who had served on the same committee as the evaluatee.

There is a high correlation between the principals' and the senior administrators' perceptions, since the senior administrative staff felt strongly that they should review the performance of those employees who reported directly to them. This position was supported by Patten (1981), Devries (1981), and DeRoche (1981).

Glickman (1985:6) saw supervision as a function and process not a particular person or position. "Anyone with direct responsibility for improving classroom and school instruction is referred to as a supervisor."

The Leadership Task Force, formed in 1982 in Pennsylvania, stated that the direct evaluation of an individual's performance should be done by the immediate supervisor. The use of multiple raters was advocated by Harris in 1985.

Summary of the Findings

The main objective for this research project was to examine the topic of performance evaluation with a particular focus on perceptions of two sample groups of administrators in a large urban district. One of the groups included a sample of senior administrators while the second group was composed of a sample of principals.

Comparison of the perceptions of the two sample groups was based on twenty statements with which the sample group of senior administrators had 100% agreement. The per cent agreement by the sample group of principals varied from 31.0% to 97.9%. For reporting purposes the findings were grouped into three categories based on agreement in perceptions. These categories were labelled high, medium and low agreement. If there was above 75% agreement by principals with the senior administrators, the statement was considered to be in the high category. If the percentage of agreement fell in the 50 to 75% range, the statement was considered to reflect medium agreement of perceptions. Where agreement was less than 50%, the statement was reflective of low agreement. Of the twenty statements where the perceptions of the two sample groups were compared, eight fell in the high category, twelve in the medium and two were in the low category.

Eight of the twenty statements regarding performance evaluation were in the category of high agreement. This would indicate that over 75% of the principals surveyed were in agreement with the perceptions of the sample of senior administrators as they related to those eight statements.

Table 4.25

High Agreement Between
Perceptions of Senior Administrators
and Principals (over 75%)

Statement Number	Statement	Senior Administrators	Principals
1	High district priority	100%	97.9%
2	High priority with senior staff	100%	96.8%
3	Used to improve performance	100%	96.8%
4	Supervisor approved objectives	100%	88.3%
17	Purpose made clear to principal	100%	87.2%
5	Supervisor comfortable evaluating	100%	80.9%
20	Information kept confidential	100%	76.6%
11	No surprises in the final review	100%	75.5%

Twelve of the twenty statements regarding performance evaluation were in the category of medium agreement. This would indicate that between 50% and 75% of the principals surveyed agreed with the perceptions of the sample of senior administrators as they related to those twelve statements.

Table 4.26

Medium Agreement Between Perceptions of Senior Administrators and Principals (50-75%)

Statement Number	Statement	Senior Administrators	Principals
7	Encouraged self evaluation	100%	72.3%
18	Criteria made clear	100%	69.2%
12	Final review helped formulate objectives for next year	100%	63.8%
13	Considered day to day performance	100%	61.8%
15	Supervisor spent sufficient time	100%	59.5%
9	Saw me as I see myself	100%	58.5%
16	Supervisor knew staff and community well enough	100%	58.5%
6	Used more than agreed upon objectives	100%	58.1%
10	Provided continuous feedback	100%	54.2%
19	Principal helped determine criteria	100%	51.1%

Of the twenty statements reflective of the perceptions of the sample of senior administrators only two fell in the category of low agreement by the sample of principals. The category was deemed to be low if less than 50% of the principals agreed with the perceptions of senior administrators.

Table 4.27

Low Agreement Between
Perceptions of Senior Administrators
and Principals (Below 50%)

Statement Number	Statement	Senior Administrators	Principals
8	Provided help with the self evaluation	100%	33.0%
14	Gathered information from some subordinates	100%	31.0%

Chapter 5

Summary, Conclusions and Recommendations

The final chapter includes three major components. First a summary of the research project is presented with a focus on the purpose, methodology and the findings. The second section consists of the conclusions while the third is made up of recommendations.

Summary of the Project

One of the often stated primary purposes of evaluation is to improve performance. According to Clark (1982:72) the "entire field of evaluation has suffered from a surplus of opinion and a shortage of evidence." This research project was undertaken to investigate the topic of performance evaluation and in particular to focus on some of the perceptions of two sample groups of educational leaders as they related to that topic. The study was conducted in two stages in a large urban school jurisdiction in Alberta. The first stage consisted of gathering data from a sample of senior administrators. Ten individual interviews were held and each senior staff member was asked thirteen questions. Data from the second group, a sample of principals (ninety-four), was generated by principals completing a perception inventory. The comparison of the perceptions of the two sample groups showed various levels of agreement. The majority of the statements,

eighteen of the twenty, had medium (50 to 75%) to high (over 75%) levels of agreement of perceptions of the two sample groups. Two of the statements had perceptions that were very low (under 50%) in agreement.

The greatest amount of agreement was with statements that related to the importance of performance evaluation, the purpose of performance evaluation was to improve performance, the employee's objectives were approved by the supervisor, the information from the performance review was kept confidential, the supervisor was comfortable reviewing the employee's performance and there were no surprises for the employee in the final review.

Although a number of principals (72.3%) felt that their associate superintendent had encouraged them to do a self-evaluation, considerably fewer principals (33.0%) felt that they had been provided with the necessary guidance to do so. A second statement where there was a vast discrepency in perceptions was related to the associate superintendents gathering information from the employees' subordinates. The associate superintendents unanimiously felt that this was their practice while only 31% of the principals supported this position.

At this stage researchers are still looking for valid and reliable ways to evaluate performance. It would be nice to be able

to say that such a system exists but to do so would be a distortion of reality. The following conclusions and recommendations are offered in the hope that changes in the Edmonton Public School District's system of evaluating performance will lead to some improvement in this process.

Conclusions

1. The board and senior administration conveyed the importance of performance evaluation to the district's leadership staff.

2. Performance evaluation serves more than one purpose within the Edmonton Public School District.

3. Objectives for each employee should be set mutually (by evaluatee and supervisor) and the supervisor should provide feedback on an on-going basis.

4. Data to be used for evaluating an employee's performance should be collected from a variety of sources.

5. Self-evaluation is a desirable component of the evaluation process.

6. Evaluation of performance included not only the agreed upon

objectives but also the day-to-day performance of the employee.

7. Although yearly performance evaluation for each district employee had been mandated, the process for doing the evaluation was not mandated.

Recommendations

Micheal Scriven (1981:244) has said, "Teacher evaluation is a disaster." This statement could probably be ignored if it had not been made by an individual as highly respected in the field of evaluation as Michael Scriven or it were not repeated, albeit in tones less severe, by countless others in North America. If it is a disaster, perhaps one of the reasons is that knowledge of the subject does not match practices.

The following recommendations are made with the hope that the practices used in evaluating performance will more closely match the knowledge that we have about performance evaluation.

Since the process for doing evaluation has not been mandated, individual schools and central decision units have a great deal of freedom (and responsibility) to devise performance evaluation systems within their own jurisdictions. Because of this the recommendations are divided into two categories.

Recommendations for the District

This category addresses those recommendations that are broader in scope and have a greater implication for the district as a whole.

1. Follow-up studies should be done to ensure that leadership staff have conveyed the importance of performance evaluation to the rest of the district staff.
2. The school district must give support to performance evaluation by providing unencumbered time and other appropriate resources to those who are responsible for evaluating performance.
3. Evaluators must be trained, not only in the process of evaluating performance, but also in conducting interviews. Evaluators must have sound observation and evaluation techniques that include diagnostic, reporting and communication skills.
4. The district should decide the main purpose for performance evaluation to allow evaluators to match process to purpose.
5. The district should decide if it wants and can afford more than one process.
6. Attitude surveys of staff, students, parents and members of the community at large should be continued.
7. The district should make a statement about the importance of self-evaluation and ensure that all staff are made aware of this.

8. If day-to-day performance of the employee is to be used then role and responsibility statements and/or job descriptions need to be written for all district staff.
9. A highly prescriptive self-evaluation process should not be imposed.
10. The district's evaluation process should be unique. This is not to say that good ideas should not be borrowed from other districts, but it would appear unwise to adopt a total process. The process for evaluating performance should be reflective of the district's priorities, its management style and the beliefs and values of its employees and the community at large.
11. The district needs to provide a means for evaluating the evaluation process.

Recommendations for Schools or Decision Units

Although all of the recommendations have implications for the district as a whole, some of the recommendations could be readily acted upon by individual schools or decision units. The following recommendations are in this category.

12. Objectives for the evaluatee should be written and then signed by both the evaluatee and supervisor prior to or at the initial interview.

13. Agreed upon meeting times as related to the performance evaluation should be set at the initial interview.
14. A minimum number of meeting times should be established to ensure for the provision of feedback on an on-going basis.
15. The evaluatee should have input into the criteria to be used for evaluating his/her performance.
16. A process needs to be devised to ensure that all staff know how to set goals, state results expected, develop strategies or action plans and recognize indicators.
17. In order to have an accurate and fair evaluation, staff need to be given the tools and the time to do a self-evaluation.
18. Cooperative staff development programs need to be encouraged and supported to allow for peer coaching and evaluation by peers.
19. Instruments and suggestions should be provided to help each district employee do a self-evaluation.
20. In order for the employee evaluation process to have a high degree of integrity and utility employees must be involved in the process. Therefore all district staff must be given the time and skills necessary to be appropriately and effectively involved.

There is little doubt that performance evaluation was a high priority within the Edmonton Public School District. The need to improve the process used to evaluate performance was also made

clear. The above recommendations were made, not as a sufficient but as a necessary set of conditions, to ensure a successful teacher evaluation process within the Edmonton Public School District.

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APPENDIX 1

Dear :

RE: PROPOSED EVALUATION POLICIES

On November 13, 1983, the Honourable David King, Minister of Education, announced a program for the evaluation of student achievement in Alberta. At that time he stressed that this was the first phase of a policy which eventually would include the evaluation of teachers, schools, school systems, and programs.

Attached for your consideration are five policy statements. You will note that the first reaffirms Mr. King's announcement of May 31, 1983 regarding the student evaluation program. The others focus upon the evaluation of teachers, schools, school systems, and programs.

Alberta Education welcomes your reaction to these draft proposals, and invites you to submit your comments to me, including specific suggestions for revision, prior to November 30, 1983.

Following careful consideration of all responses, it is our intention to prepare a final statement of these policies for implementation on January 1, 1984.

Your attention to this policy matter is very much appreciated.

Sincerely,

Reno Bosetti
Deputy Minister

Attachment

PROPOSED TEACHER EVALUATION POLICY

POLICY

The practice of teaching will be evaluated in order to attain and maintain quality instruction to students throughout the province, and school systems will be assisted with the development of policy and with the professional growth and development of teachers.

DEPARTMENTAL GUIDELINES AND PROCEDURES

1. Alberta Education, through its Regional Offices, will provide assistance to local school jurisdictions in the development and implementation of local teacher evaluation policies and procedures in the 1984-85 school year. The Regional Offices will conduct regional seminars on the provincial policy as well as group workshops or individual assistance at the request of districts.

2. Alberta Education, through its Regional Offices, will review and monitor school jurisdiction policies and procedures in order to ensure that the jurisdictions' written policies on teacher evaluation are being implemented. Reviews of systems' policies may be initiated by the Department or school systems. The review teams may include personnel from the ATA, ASTA, CASS, or other school systems.

3. Alberta Education, through its Regional Offices, may undertake evaluations of teacher performance related to termination, retention or transfer of a teacher by boards when the affected teacher, a board, a superintendent, or other legal entity having the authority to do so makes a specific request, and then only after the local system presents evidence of having conducted and documented its own evaluation of the teacher.

4. Alberta Education, through its Regional Offices, will undertake on a regular basis the evaluation of teacher performance in systems, including private schools, which do not have a locally appointed superintendent.

5. Alberta Education, through its Regional Offices, will investigate specific incidents involving professional staff in the employ of boards when it is deemed by the Minister to be desirable and in the best interests of the public to do so.

6. A teacher who is dissatisfied with the evaluation report of the superintendent or his designate, which results in the withholding of permanent certification, may appeal to the Deputy Minister requesting that Alberta Education conduct an independent assessment.

7. Alberta Education, through Planning Services, will encourage studies related to the factors contributing to the improvement of teacher effectiveness and competence.

APPENDIX 2

Provincial Evaluation Policies

Teacher Evaluation

POLICY

The performance of individual teachers and the quality of teaching practices across the province will be evaluated to assist in the provision of effective instruction to students and in the professional growth and development of teachers.

GUIDELINES

1. The primary responsibility for the evaluation of individual teacher performance and for the quality of teaching practice lies with each school board.
2. Each school board will develop, keep current, and implement written policies, guidelines, and procedures in keeping with the intent of Provincial policies, guidelines, and procedures. These policies, guidelines, and procedures will be a matter of public record, available upon request. Alberta Education will assist school boards in the development of policies, guidelines, and procedures.
3. Alberta Education will not hear any appeals from individual teachers who are dissatisfied with evaluation reports from school boards whose policies are consistent with the principles of natural justice and provide an appeal mechanism. Alberta Education may consider such appeals from teachers employed by school boards whose policies do not contain such provisions.
4. Alberta Education and school boards are responsible for ensuring that:
   (a) teacher evaluation policies and guidelines are implemented appropriately; and that
   (b) high standards of teaching practice are achieved and maintained across the province.
5. Teacher evaluation policies:
   (a) will be applicable to all teachers;
   (b) will be fair and consistent in application;
   (c) should permit consultation with teachers in the development of policy, guidelines, and procedures;
   (d) will ensure that the evaluation report is made available to the teacher in question after its completion; and
   (e) will be consistent with the principles of natural justice and provide an appeal mechanism.
6. The results of evaluations will be used to:
   (a) assist the professional development of teachers;
   (b) develop improved measures of teacher performance; and
   (c) take appropriate action with respect to teachers whose performance is unacceptable.
7. Alberta Education will conduct teacher evaluations in private schools and privately operated Early Childhood Services centres for the purpose of recommending permanent certification.
8. Alberta Education will investigate specific incidents involving professional staff in the employ of school boards when it is deemed by the Minister to be necessary and in the best public interest to do so.
9. A teacher who desires to appeal any matter relating to the suspension or cancellation of a certificate may appeal to the Council on Alberta Teaching Standards.

Alberta
EDUCATION

Devonian Building, West Tower, 11160 Jasper Avenue, Edmonton, Alberta, Canada T5K 0L2

TO: BOARD CHAIRPERSONS
SCHOOL SUPERINTENDENTS
PRIVATE SCHOOLS
PRIVATE E.C.S. OPERATORS

RE: EVALUATION POLICIES MANAGEMENT AND FINANCE PLAN

An important aspect of the Management and Finance Plan is that all school jurisdictions, private schools and privately operated Early Childhood Services Centres are required to develop and implement, within the framework of provincial policy, their own student, teacher, program, school and school system evaluation policies.

As of January 31, 1985, all Alberta school jurisdictions should have in place teacher evaluation and student evaluation policies, guidelines and procedures. As of June 30, 1985, policies, guidelines and procedures should also be in place for the evaluation of programs, schools and the school system.

Regional Offices of Education are responsible for providing assistance in the development of policies and for the implementation of these policies.

Enclosed, as information, is a set of guidelines which will be used by the Regional Offices for monitoring student, teacher, program and school evaluation policies. Guidelines for monitoring school system evaluation policies will follow the same format and will be ready in the near future.

These guidelines have been developed for the use, primarily, of our Regional Offices. Therefore, the guidelines should be considered as non-prescriptive with the exception of the mandatory inclusion of an appeal and due process procedure in the teacher evaluation policy. It should be further noted that although a due process and appeal procedure is mandated with respect to teacher evaluation policy, Alberta Education does not propose to specify its content.

Your continuing support in the implementation of the Management and Finance Plan in the interests of providing quality education for children in our province is appreciated.

Sincerely,

Reno A. Bosetti
Deputy Minister

c.c. Honourable David King

Enclosure

GUIDELINES FOR MONITORING
TEACHER EVALUATION
POLICIES, GUIDELINES AND PROCEDURES

A. Format

(1) The suggested format of background, policy, guidelines and procedures is used.

B. Background

(1) The background statement outlines the context and rationale for the accompanying policy, guidelines and procedures.

C. Policy Statement

(1) The statement tells what is desired and why.

(2) The statement provides positive direction to management and staff but does not prescribe methods.

(3) The statement permits managers and staff to meet changing conditions without rewriting the policy.

D. Guidelines

(1) The guidelines clarify the key elements of the policy statement.

(2) The guidelines indicate, generally, how major aspects of the policy will be administered.

(3) The guidelines differentiate between mandatory and discretionary provisions. That is, mandatory guidelines are denoted by shall or must, discretionary guidelines are denoted by should or may.

(4) The purposes and the priorities of the evaluations are identified. These may include some of the following:

- certification
- recognition of excellence
- staff deployment (placement, transfer, teacher assignments)

- tenure
- termination
- professional development (e.g.: inservice, consultation, conference)
- promotion
- improvement of instruction
- other

(5) Teachers covered under the policy are specified. For example, these may include:

- probationary status teachers (new to the system)
- tenured teachers
- substitute teachers
- temporary contract teachers
- other

E. Procedures

(1) The procedures delineate between mandatory and discretionary activities.

(2) The procedures for evaluating teaching performance are clear and appropriate relative to the following:

a) The sequence of activities required to carry out the evaluations is stated.

b) The various stages of teacher evaluation and the person (s) responsible are identified; some examples of stages are:

- evaluating teaching performance
- administering due process and appeal
- maintaining records
- reviewing and keeping current the policies, guidelines and procedures
- other

c) The reference to the means of data collection and the criteria for evaluating teaching performance is made.

d) Timelines for the evaluation process are specified and represent a regular review of teacher performance (e.g.: one per year, one every two years).

(3) There are provisions for keeping current and for systematically reviewing the policy, guidelines and procedures. For example:

a) Person(s) responsible for initiating the review are identified.

b) The basis (e.g.: frequency, conditions, etc.) for the initiation of a review is identified.

c) Others

(4) There is a delineated due process and appeal mechanism which outlines:

a) How appeals are initiated.

b) To whom the appeal is addressed.

c) How teachers and others are informed of the process.

d) Other

A due process and appeal mechanism is required by Alberta Education.

(5) Procedures for the maintenance of records of teacher evaluations are outlined. The procedures include:

a) Where the files are located.

b) Who is responsible for the files.

c) Who has access to the files.

d) A description of confidentiality parameters.

e) The teacher receiving a copy of the evaluation.

f) The teacher adding material to file.

(6) The procedures outline how the public can access the policies, guidelines and procedures.

F. Other

(1) Stakeholder involvement and the nature of involvement are outlined.

- teachers
- parents
- students
- administrators
- trustees
- others

(2) Other comments/factors to consider:

APPENDIX 3

EDMONTON PUBLIC SCHOOLS

February 20, 1985

TO: Board of Trustees

FROM: M. A. Strembitsky, Superintendent of Schools

SUBJECT: Performance Evaluation

ORIGINATOR: D. M. Assheton-Smith, Associate Superintendent School Support Services

RESOURCE PERSON: T. Rempel, Assistant Superintendent Personnel Services

INFORMATION

A draft of a policy statement and guidelines for performance evaluation was brought to the trustees in December 1984. The same draft document was distributed to all district staff and employee groups with an invitation to comment.

More than 200 submissions were received. Many hours were spent in studying the document, discussing the guidelines and procedures and preparing the submissions in response to the draft document.

This revised policy statement is tabled as information at this time and will be brought to the Trustees as an action item on March 12, 1985. It is also being distributed to the schools and a copy has been sent to Alberta Education for information.

The following is a brief summary of ideas, comments and suggestions that appeared many times throughout the submissions. Each item is followed by a brief statement on how the suggestions were incorporated or reasons why the suggestions are not addressed in the revised document (Appendix I).

1. There is strong support for the concept of evaluation but an expressed need for assistance.

   In-service sessions are planned for the remainder of 1984-85 and for the 1985-86 school year in order to provide assistance to all staff.

2. The content of the document appears harsh and directed toward the few.

   Words that appeared to grate have been replaced or removed. An introductory statement has been added clarifying the purpose for evaluation.

3. It was suggested that the policy be exclusively for teacher-certificated staff, thus restricting ourselves to the Alberta Education requirement.

   The issue of it being an 'employee' or 'staff member' document as opposed to applying to teacher-certificated only has been reviewed. All staff members contribute directly or indirectly to the education of the students of the district. All staff members are expected to perform to the best of their abilities and have the right to have that performance evaluated.

4. Concern was expressed that the tone of the document stresses accountability rather than growth of staff members.

   Evaluation does assist in employee growth and each staff member is accountable. The revised document has an expanded version of the supervision phase to highlight the growth aspect of evaluation.

5. Many of the submissions included a statement indicating that some of the purposes of evaluation contradicted each other.

   Those purposes have been replaced.

6. There was a strong recommendation to include both formative and summative evaluations in the document.

   The revised document has not been changed to reflect two types of evaluation. Evaluation may occur at different times; however the process is the same. Different judgments may provide information for different decisions.

7. A concern was expressed that an annual performance evaluation was an unreasonable expectation and that the written reports might become superficial.

   Supervisory units can be organized such that any one supervisor need not be overloaded. Further, the supervision phase provides for different degrees of intensity recognizing differing needs of staff members and other members of staff may assist in the monitoring and skill development of staff.

8. There was nothing clarified regarding the storage of reports, but a concern was expressed about the disposition of the report if the staff member and/or supervisor changed location.

   The revised procedures provide for the evaluator and the evaluatee retaining copies of the document and for the evaluatee to add comments. Either party may request that a copy of the revised document be placed on the employee's personnel file.

9. Collegial relationships and the role of the members will be threatened.

   The revised document does not reflect any changes that would remove the responsibility of evaluation from the immediate supervisor. Further, it is possible to maintain collegial relationship and perform the function of supervision and evaluation.

10. The concept that evaluation is a continuous process was stated many times.

    The administration recognizes that many processes within the evaluation are on-going, yet at some point in time a judgment must be made on how well expected outcomes are being met. To that end, the word continuous as it applies to evaluation was not included in the revised document.

11. The word 'decision' was interpreted as referring only to the staff member experiencing difficulty.

    The introductory statement clarifies the separation of decision-making from evaluation.

12. Concern was expressed as to accessibility to the written report.

    The revised document provides that the report be stored in the personnel file, and accessibility to that file is governed by district practice. This may not alleviate the concern expressed in the submissions; however it provides for consistency.

TR/mo
Attachment: APPENDIX I - PERFORMANCE EVALUATION Policy and Guidelines

PERFORMANCE EVALUATION

POLICY

The performance of each staff member will be evaluated by the immediate supervisor to maintain and improve the educational service provided to the students of the district. A written performance evaluation report based on how well the expected outcomes have been achieved will be provided to the staff member at least once a year.

GUIDELINES

The proposed policy statement and the guidelines and procedures that follow reflect certain beliefs and rely on the use of the terms as defined in the attached glossary (APPENDIX II). Further, the effectiveness of performance evaluation will be enhanced with the provision of in-services to all staff and the fair and reasonable application of the procedures.

While the policy applies to all staff members, provision is made in the guidelines and procedures for the recognition of individual differences of the members of the various employee groups.

All staff members must know what outcomes are expected of them and how well those outcomes are being achieved in order to maintain or improve their performance. It is our belief that staff members want to be evaluated in a fair and reasonable manner and desire to grow professionally.

Judgments made about how well the expected outcomes have been achieved are based on information that has been gathered over a period of time. A written document is provided to summarize the process and justify the judgment. Decisions regarding recognition of growth, staff assignments, retention or promotion are not a part of the performance evaluation process; however the performance evaluation should provide the major basis for such decisions.

Purposes of Performance Evaluation

The performance evaluation is conducted to:

1. Enhance or maintain the performance of staff members and the District.
2. Indicate the extent to which expected outcomes have been achieved.
3. Provide information for making decisions.

Guidelines

1. The immediate supervisor is responsible for the performance evaluation of each staff member.

2. The immediate supervisor, in consultation with staff, is responsible for developing, adopting and updating written procedures consistent with the district performance evaluation policy, guidelines and procedures.

3. Performance evaluation may occur at any point in time and will utilize a variety of indicators and measures. A written performance evaluation shall be completed at least once a year based on data gathered over an evaluation period.

4. Each set of procedures for performance evaluation should:
   (a) provide for the setting of expected outcomes, timelines and the manner in which data will be collected;
   (b) provide a process to gather information which will indicate the extent to which expected outcomes have been achieved;
   (c) outline the manner in which assistance and support for improved performance will occur;
   (d) be applicable to all personnel;
   (e) be administered fairly and reasonably for each staff member.

Procedures

Performance evaluation may occur at different times. In the development of evaluation procedures, the immediate supervisor and staff should consider the following three phases of the process:

1. Identification of Expected Outcomes

   The immediate supervisor, in consultation with the staff member, identifies expected outcomes based on district, school and personal goals. Characteristics of students, staff and the physical environment are taken into account when the expected outcomes are determined. Outcomes are clearly stated and their indicators are specified.

   Expected outcomes should indicate what is to be achieved and are to be considered in the broad context of district, school or unit, personal and classroom goals. In establishing expected outcomes all aspects of student and employee growth and development should be considered. The expected outcomes should be commensurate with the responsibilities assigned to the staff member.

Supervision

Supervision of the staff member involves assisting and guiding the staff member on an ongoing basis towards attaining expected outcomes. The supervision phase allows for the modification, extension or deletion of expected outcomes.

Conferencing and coaching are integral components of the supervision phase. Additional resources other than the immediate supervisor can be utilized in the support, guidance and assistance to the staff member. Decisions related to program, resource deployment and professional development may be made as a result of the supervision process.

In the event the expected outcomes are considered reasonable and the staff member is experiencing difficulty in achieving the expected outcomes, the staff member shall enter into a period of remediation. The staff member shall meet with the immediate supervisor and receive a statement of the outcomes not achieved, the corrective action to be taken, the kind and amount of assistance to be provided, the time frame provided for corrective action to occur, and the manner by which progress shall be determined.

3. Evaluation

The immediate supervisor collects data using previously identified methods and reviews the information within the context of the expected outcomes. The immediate supervisor determines the degree to which expected outcomes have been achieved. It is recognized that performance evaluation may occur at differing times, but at least once each year a written performance evaluation report is presented to, and discussed with the staff member.

A copy of the written report will be provided to the staff member and the original retained by the evaluator. The staff member may add written comments to the document and either party may request a copy be placed on the staff member's personnel file.

In the event a staff member's performance is judged unacceptable and all reasonable efforts in the supervision phase have failed in having the staff member reach and maintain an acceptable level of performance, the evaluator shall notify the staff member in writing.

Staff members have the right to appeal any judgments contained in their written performance evaluation report. The staff member may submit a written statement of concerns to the evaluator's immediate supervisor. The evaluator has similar rights. Upon receipt of an appeal, that supervisor will acknowledge the appeal, investigate the circumstances and respond to both parties. That supervisor may involve resource personnel in the review of the appeal.

Accessibility to Report

Access to a staff member's file is governed by collective agreements and district practice.

Decisions

The performance evaluation may be used in part in making decisions related to such matters as the assignment of staff, retention and promotion.

A staff member has the right to appeal a decision through to the Superintendent of Schools. Decisions of the Superintendent of Schools may be appealed to the Board of Trustees.

PD/mo

EDMONTON PUBLIC SCHOOLS

March 13, 1985

TO: Board of Trustees

FROM: M. A. Strembitsky, Superintendent of Scho

SUBJECT: Performance Evaluation

ORIGINATOR: D. M. Assheton-Smith, Associate Superintendent School Support Services

RESOURCE PERSON: T. Rempel, Assistant Superintendent Personnel Ser

RECOMMENDATION

That the following policy statement on the performance evaluation of staff be approved:

> The performance of each staff member will be evaluated by the immediate supervisor to maintain and improve the educational service provided to the students of the district. A written performance evaluation report based on how well the expected outcomes have been achieved will be provided to the staff member at least once a year.

* * * * *

The proposed policy statement and the guidelines and procedures that follow reflect certain beliefs and rely on the use of the terms as defined in the attached glossary (APPENDIX I). Further, the effectiveness of performance evaluation will be enhanced with the provision of in-services to all staff and the fair and reasonable application of the procedures.

While the policy applies to all staff members, provision is made in the guidelines and procedures for the recognition of individual differences of the members of the various employee groups.

All staff members must know what outcomes are expected of them and how well those outcomes are being achieved in order to maintain or improve their performance. It is our belief that staff members want to be evaluated in a fair and reasonable manner and desire to grow professionally.

Judgments made about how well the expected outcomes have been achieved are based on information that has been gathered over a period of time. A written document is provided to summarize the process and justify the judgment. Decisions regarding recognition of growth, staff assignments, retention or promotion are not a part of the performance evaluation process; however the performance evaluation should provide the major basis for such decisions.

Purposes of Performance Evaluation

The performance evaluation is conducted to:

1. Enhance or maintain the performance of staff members and the District.
2. Indicate the extent to which expected outcomes have been achieved.
3. Provide information for making decisions.

Guidelines

1. The immediate supervisor is responsible for the performance evaluation of each staff member.
2. The immediate supervisor, in consultation with staff, is responsible for developing, adopting and updating written procedures consistent with the district performance evaluation policy, guidelines and procedures.
3. Performance evaluation may occur at any point in time and will utilize a variety of indicators and measures. A written performance evaluation shall be completed at least once a year based on data gathered over an evaluation period.
4. Each set of procedures for performance evaluation should:
   (a) provide for the setting of expected outcomes, timelines and the manner in which data will be collected;
   (b) provide a process to gather information which will indicate the extent to which expected outcomes have been achieved;
   (c) outline the manner in which assistance and support for improved performance will occur;
   (d) be applicable to all personnel;
   (e) be administered fairly and reasonably for each staff member.

Procedures

Performance evaluation may occur at different times. In the development of evaluation procedures, the immediate supervisor and staff should consider the following three phases of the process:

1. Identification of Expected Outcomes

The immediate supervisor, in consultation with the staff member, identifies expected outcomes based on district, school and personal goals. Characteristics of students, staff and the physical environment are taken into account when the expected outcomes are determined. Outcomes are clearly stated and their indicators are specified.

Expected outcomes should indicate what is to be achieved and are to be considered in the broad context of district, school or unit, personal and classroom goals. In establishing expected outcomes all aspects of student and employee growth and development should be considered. The expected outcomes should be commensurate with the responsibilities assigned to the staff member.

2. Supervision

Supervision of the staff member involves assisting and guiding the staff member on an ongoing basis towards attaining expected outcomes. The supervision phase allows for the modification, extension or deletion of expected outcomes.

Conferencing and coaching are integral components of the supervision phase. Additional resources other than the immediate supervisor can be utilized in the support, guidance and assistance to the staff member. Decisions related to program, resource deployment and professional development may be made as a result of the supervision process.

In the event the expected outcomes are considered reasonable and the staff member is experiencing difficulty in achieving the expected outcomes, the staff member shall enter into a period of remediation. The staff member shall meet with the immediate supervisor and receive a statement of the outcomes not achieved, the corrective action to be taken, the kind and amount of assistance to be provided, the time frame provided for corrective action to occur, and the manner by which progress shall be determined.

3. Evaluation

The immediate supervisor collects data using previously identified methods and reviews the information within the context of the expected outcomes. The immediate supervisor determines the degree to which expected outcomes have been achieved. It is recognized that performance evaluation may occur at differing times, but at least once each year a written performance evaluation report is presented to, and discussed with the staff member.

A copy of the written report will be provided to the staff member and the original retained by the evaluator. The staff member may add written comments to the document and either party may request a copy be placed on the staff member's personnel file.

In the event a staff member's performance is judged unacceptable and all reasonable efforts in the supervision phase have failed in having the staff member reach and maintain an acceptable level of performance, the evaluator shall notify the staff member in writing.

Staff members have the right to appeal any judgments contained in their written performance evaluation report. The staff member may submit a written statement of concerns to the evaluator's immediate supervisor. The evaluator has similar rights. Upon receipt of an appeal, that supervisor will acknowledge the appeal, investigate the circumstances and respond to both parties. That supervisor may involve resource personnel in the review of the appeal.

Accessibility to Report

Access to a staff member's file is governed by collective agreements and district practice.

Decisions

The performance evaluation may be used in part in making decisions related to such matters as the assignment of staff, retention and promotion.

A staff member has the right to appeal a decision through to the Superintendent of Schools. Decisions of the Superintendent of Schools may be appealed to the Board of Trustees.

TR/mo
Attachment: APPENDIX I - Glossary
APPENDIX II - A Review of the Submissions on the Performance Evaluation Draft
APPENDIX III - Responses to Submission Comments
APPENDIX IV - Alberta Education Evaluation Document 1984 05 02
APPENDIX V - Policy of Edmonton Public School Local, A.T.A.

APPENDIX 4

PROBLEMS IN ADMINISTERING PERFORMANCE APPRAISAL SYSTEMS

1. The understandable reluctance of managers to rate employees who may be virtually unknown to them.
2. The unwillingness of managers to take the time or make the effort to analyze their employees thoroughly.
3. Differences in temperament between raters — some are overfriendly, others are overcritical.
4. The "halo effect" — employees who are liked are seen as excelling in nearly every trait; if disliked, as deficient in many traits.
5. The overweighting of recent occurrences, either favorable or unfavorable, such that previous occurrences tend to be forgotten.
6. The need to give superiors information which will not embarrass the rater ("None of my employees perform at less than 100 percent — I wouldn't keep such a person").
7. The need to use the ratings for personal gain — to win a subordinate's favor, or to hold back a subordinate whose progress threatens the rater.
8. The need to play politics and tell superiors what they want to hear.
9. The reluctance to make adverse ratings for fear they might have to be discussed with the employee.
10. The use of ratings for an ulterior purpose — to justify giving or withholding raises or promotions.
11. The lack of uniform criteria or standards of performance from rater to rater.
12. Personal prejudice or bias on the part of the rater — "All Swedes are squareheads."
13. Extreme rater indecisiveness — the inability to make a categorical judgment.
14. Lack of analytical ability on the part of the rater — the inability to see cause-effect relationships.
15. "Central tendency" — the reluctance of the rater to rate either high or low, the wish to stick to the safer middle ground of a "good" or "average" rating.
16. A proneness to wishful thinking — "Everyone is promotable, perhaps in five years."
17. The tendency to generalize from an inadequate or unrepresentative sample of the employee's behavior.
18. The lack of company-wide agreement as to what criteria and standards must be met to obtain a given rating.
19. The universality of rating forms that were designed to evaluate all employees in the company (with broad categories like "Quantity of Work" and "Knowledge of Job" that apply to everyone but are therefore job-specific to no one).
20. The belief by many supervisors that performance appraisals are done mainly to let the Personnel Department know who should and shouldn't get raises. (This leads many supervisors to "work backwards" from the amount of pay raise they want to recommend to a rating that would justify it).

APPENDIX 5

Suggested philosophy and guidelines for a school district to use in establishing an administrative evaluation/ compensation plan.

Philosophy/Guidelines (In priority/sequential order)

1. Evaluation of administrators is necessary to promote professional growth and ensure the attainment of individual and district goals.
2. Administrative evaluation should be a positive process which encourages and provides for continued refinement of administrative skills.
3. Performance evaluation should have a direct relationship to management compensation.
4. The *development* of an administrative evaluation plan should consider the involvement of *all* members of the management team* or their designees.

   *includes school directors, superintendents, principals and other administrative supervisory personnel designated by the District.
5. Evaluation plans should be adopted as Board policy.
6. Evaluation is primarily an administrative function; however, the Board should have adequate access to evaluation results through its Superintendent.
7. Job descriptions should be developed and maintained for all members of the team as a basis for job evaluation.
8. An organizational structure relating position responsibility/ authority should be developed and maintained.
9. Evaluation should be based on individual performance within the organizational structure and specific job description as related to the district goals as adopted by the Board.
10. The direct evaluation of an individual's performance should be made by the immediate superior.
11. The evaluation process should clearly state the standards against which the individual will be measured.
12. The evaluation should include a process for the review of results with the immediate superior and a further opportunity for review through appropriate channels of authority as deemed necessary for review and redress, if necessary.
13. Timelines for initiating and completing the evaluation process should be clearly defined.
14. Administrators responsible for evaluation should have adequate training to complete the evaluation process.
15. No evaluation plan should be implemented until all parties have had sufficient inservice to demonstrate a thorough understanding of the workings of the plan.
16. Evaluation should be an on-going process requiring periodic assessment of an individual's performance based on desired outcomes.
17. Evaluation plans should be simple to administer and should not be time-consuming in actual implementation.
18. The evaluation process should seek improvement of identified deficiences and/or individual needs through structured, well-planned, competent inservice programs.

APPENDIX 6

The Evaluation Cycle

The Task Force suggested that once a board has seriously considered the prospect of developing an evaluation/compensation plan, the board should go on record and declare its intent to adopt (or revise) an evaluation/compensation plan, and then proceed as follows:

1. Each district could start by reviewing the suggested eighteen guidelines proposed by the Task Force (Exhibit A). Those guidelines, modified to suit local needs, would become the framework around which the plan would continue.

The Task Force spent considerable time and effort in discussing and debating the general areas deemed applicable for evaluation of administrative personnel. It was agreed that all administrative positions, regardless of title or responsibility, required the effective use of certain administrative/managerial skills regardless of the position held. Evaluation in this skill area was considered extremely important in any evaluation report and the Task Force suggested some 19 skill areas for consideration in developing a local district plan. (AREA I)

A second area of evaluation centered on the specific job responsibility delegated to the position to be evaluated. (AREA II)

A third area of evaluation dealt with individual goals developed within a local district consistent with the pre-established plan of the district. Since some districts rely heavily on Management by Objectives (MBO) or other similar management plans, and others place little or no emphasis on this management style, each district would follow the evaluation style (found in AREA III) consistent with their plans.

2. Each district would then review the applicability and use of the three main areas suggested by the Task Force for evaluation and eventually determine the relative weighting to be assigned to each of those areas, if any.

AREA I	AREA II	AREA III
Administrative/ Managerial skills	Specific job description responsibilities	Individual goals within the framework of district goals

3. Under the general heading of Administrative/Managerial skills (see Exhibit B), the district would consider items on that list and determine which of those 19 skills (thought to be common to all positions) should be included in the evaluation plan. Again, this list could be modified by a local district by deleting, adding or otherwise changing the 19 skills identified by the Task Force.

Since terms have different meanings and interpretations to different people, the Task Force suggested that common agreement

should be achieved to avoid potential pitfalls in the evaluation process.

4. Definitions and standards for each item should be developed for common application and understanding of the use in the evaluation process. (See Exhibit C).

With job responsibility the heart of the evaluation process, the Task Force suggested:

5. Job descriptions should be written considering the guidelines suggested by the Task Force in Exhibit D.

Ultimately the results of any evaluation plan need to be reduced to writing. The form and format to be used in this process becomes critical to the implementation process.

6. A form should be developed which would include evaluation criteria agreed to in each district. The final format — either completely narrative or completely a numerical-based checklist, or a combination thereof — would be communicated to all parties for common agreement as to proper use. As indicated in the comments of Exhibit E, the choice of anywhere from a two to a five-pronged evaluation model, and the words that are used in that model, can be extremely important in the eventual success or lack of success of such a plan.

Before the results of the evaluation plan can be implemented, a thorough understanding by all parties is needed.

7. Appropriate inservice of the evaluation process for both participants and supervisors would take place.

If evaluation results are tied (directly or indirectly) to compensation, the specifics of such an arrangement needs to be clarified.

8. Evaluation results should be translated into compensation in accordance with a plan adopted by the district. Exhibit F identifies basic principles which the Task Force has developed for a school district's consideration in developing such a plan.

APPENDIX 7

PRINCIPALS' PERCEPTION INVENTORY

related to

PERFORMANCE REVIEWS

EDMONTON PUBLIC SCHOOL DISTRICT

Fall, 1984

by Donna I. Wilson

DIRECTIONS

Please read each item carefully. Note there are five responses for each item. Select the response that most clearly represents your feelings, and color in the appropriate number on the response sheet.

RESPONSES

1	2	3	4	5
Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree

PART A

MY ASSOCIATE SUPERINTENDENT

1. conveyed to me that performance reviews have a high priority in the district.
2. conveyed to me that performance reviews have a high priority with him.
3. saw performance reviews as a means of improving performance.
4. approved my objectives for the 1983-84 school year.
5. conveyed the feeling that he was comfortable reviewing my performance.
6. reviewed my performance solely on the basis of the written or agreed upon objectives.
7. encouraged me to do a self-evaluation.
8. provided guidance and direction for me to do a self-evaluation.
9. saw me as I see myself.
10. gave me feedback throughout the year that helped me improve my performance.
11. did not include any surprises in my final review.
12. provided a final review that would help me formulate my objectives for next year.
13. reviewed my performance not only considering objectives but also my day-to-day performance managing my school.
14. gathered information from some of my subordinates regarding my performance.
15. spent sufficient time with me to review my performance in a fair manner.
16. knows my staff and community well enough to do a fair review of my performance.
17. made the purpose of performance reviews very clear to me.
18. stated very clearly the criteria to be used in reviewing my performance.

19. allowed me to have input into the criteria used for reviewing my performance.

20. has kept confidential the information regarding my performance.

PART B

DIRECTIONS

Please read each item carefully. Note that the responses vary. Select the response which most accurately represents your feelings or situations.

21. The number of meetings with my associate where the major emphasis was on performance reviews was

1. 0-5 visits
2. 6-10 visits
3. 11+ visits

22. The best place to discuss my performance is

1. in my office
2. in my school - but not my office
3. in the Centre for Education
4. in neutral territory
5. not important

23. Last year I used the following to review my performance

1. a self-evaluation
2. staff evaluation
3. student evaluation
4. community evaluation
5. a combination of the above (please specify) _____

24. The best person(s) to review my performance is(are)

1. my associate superintendent
2. my staff
3. my students
4. my community
5. a combination of the above (please specify)

_____

_____

*6. other central district personnel (please specify)

_____

_____

*Do not code this on the computer answer sheet.

APPENDIX 8

EDMONTON PUBLIC SCHOOLS

December 3, 1984

Dear

Let me take a few minutes of your time to introduce a colleague and then make a request asking for your cooperation in completing the enclosed questionnaire.

Donna Wilson, an assistant principal at M. E. LaZerte Composite High School, has just returned from a year of study in Educational Administration. In one of her courses Donna looked at performance reviews within the Edmonton Public School District. In discussions with senior administration (individual interviews were conducted) a number of perceptions became evident (see enclosure). We now want to check the perception of some principals regarding performance reviews. This will allow us to make comparisons of the perceptions of senior administrators with the perceptions of principals in the hope that some recommendations might be made to improve the process of reviewing performance.

Results will be analyzed on the basis of area assignments for the 1983-84 school year and a copy of the results will be made available to you.

If you have any queries, concerns or require additional information, do not hesitate to call Donna at Res. 468-3999 or Bus. 476-8611.

We thank you in advance for your cooperation.

Sincerely,

Dick Baker per CD

Dick Baker
Associate Superintendent

Donna Wilson

Donna Wilson
Assistant Principal

DW/cd
Enclosure

P.S.: If possible, please return the questionnaire and answer sheet in the enclosed envelope by December 17, 1984.

APPENDIX 9

PRINCIPAL PERFORMANCE EVALUATION

Name _____ Date _____

A. Value most closely reflects achievement.

0 - 4 improvement required
5 - 7 acceptable - very good
9 - 10 excellent - outstanding

B. Value most closely reflects how well the principal compares with others in area.

Low ——|—— High

1. LEADERSHIP - the ability to initiate change and follow through

forceful and dynamic instructional

1982/83 1983/84

A. _____ _____

B. |——|——| low high

_____
_____
_____
_____

2. CONFLICT RESOLUTION - the ability to mediate and resolve

1982/83 1983/84

A. _____ _____

B. |——|——| low high

_____
_____
_____
_____

3. MORALE - ability to have consideration for the well-being and development of subordinates

1982/83 1983/84

A. _____ _____

B. |——|——| low high

_____
_____
_____
_____

4. CLIMATE BUILDING - creating a climate of trust, and respect.

1982/83 1983/84

A. _____ _____

B. low high

5. PROBLEM SOLVING - the ability to isolate a problem, conceive of alternative solutions and to make good judgements

1982/83 1983/84

A. _____ _____

B. low high

6. RESOURCE ALLOCATION - including budgeting and the deployment of resources for maximum benefit utilization of community and district resources

1982/83 1983/84

A. _____ _____

B. low high

7. ENTREPRENEURIAL SKILLS - the ability to take reasonable risks

1982/83 1983/84

A. _____ _____

B. low high

8. POLITICAL SKILLS - the ability to maintain the general support of staff and community and to deal with specific interest groups

1982/83 1983/84

A. _____ _____

B. low high

9. ADAPTABILITY TO CHANGE - the ability to adapt to changing conditions for the benefit of the organization

1982-83 1983/84

A. _____ _____

B. low high

10. RELATIONS WITH SUPERORDINATE - the degree to which the employee contributes to the effectiveness of the supervisor
loyality to District
willingness to take direction

1982/83 1983/84

A. _____ _____

B. low high

11. MANAGEMENT SKILLS - the degree to which the employee organizes his own work and directs the work of others.
utilization of time

1982/83 1983/84

A. _____ _____

B. low high

12. CONSULTING AND COMMUNICATING SKILLS
gives clear, specific, concise direction
seeks advice from appropriate sources
listens well

	1982/83	1983/84
A.	_____	_____
B.	low	high

13. CREATES ORDER AND DISCIPLINE
organizational skills
establishes expectations of behavior
firm but fair

	1982/83	1983/84
A.	_____	_____
B.	low	high

14. EVALUATING RESULTS
identifies performance indicators
judges acceptable standards
utilizes appropriate measures

	1982/83	1983/84
A.	_____	_____
B.	low	high

15. PROFESSIONAL DEVELOPMENT PLANS

16. EXPECTATIONS FOR YEAR - 19____

COMMENTS AND RECOMMENDATIONS

_____

_____

_____

_____

_____

_____

_____

(Name of Evaluator)

RPB/mca
Nov/83

"ONE-ON-ONE'S" PERFORMANCE IMPROVEMENT

QUESTION 1 — What initiatives did you take in the past year that had impact at the school level?

QUESTION II — What initiatives did you take in the past year that had impact at the District level?

QUESTION III — What are your proposed accomplishments for the coming year?

a. At the school level?

b. At the district level?

QUESTION IV — Identify the assistance that will be required to meet these accomplishment, ie: Board, Superintendent, Associate Superintendent or anyone else in the District.

DISCUSSIONS RE:

Program Supervision

Analysis of Survey

Personal Professional Development

PLEASE BRING:

Role and Responsibility statements for

Assistant Principals/Department Heads

SURVEY RESULTS

Associate Superintendent of Schools Identified - Remarks	Principal Responses

ADMINISTRATIVE PERFORMANCE REVIEW

ADMINISTRATOR: _____ Date _____

A. Identify a point which most closely reflects how well the evaluatee demonstrates each particular skill.

1. LEADERSHIP - the ability to initiate change and follow through

A. Poor ----- Excellent

2. CONFLICT RESOLUTION - the ability to mediate and resolve

A. Poor ----- Excellent

3. MORALE - ability to have consideration for the well-being and development of subordinates

A. Poor ----- Excellent

4. INFORMATION PROCESSING - the ability to create communication networks

A. Poor ----- Excellent

5. PROBLEM SOLVING - the ability to isolate a problem, conceive of alternative solutions and to make good judgements

A. Poor ----- Excellent

6. RESOURCE ALLOCATION - including budgeting and the deployment of resources for maximum benefit

A. Poor ----- Excellent

7. ENTREPRENURIAL SKILL - the ability to take reasonable risks

A. Poor ----- Excellent

8. POLITICAL SKILLS - the ability to maintain the general support of staff and community and to deal with special interest groups

A. Poor ----- Excellent

9. ADAPTABILITY TO CHANGE - the ability to adapt to changing conditions for the benefit of the organization

A. Poor ----- Excellent

10. RELATIONS WITH SUPERORDINATE - the degree to which the employee contributes to the effectiveness of the supervisor

A. Poor ----- Excellent

11. MANAGEMENT SKILLS - the degree to which the employee organizes his own work and directs the work of others

A. Poor ----- Excellent

12. PROFESSIONAL DEVELOPMENT

13. EXPECTATIONS FOR _____:
year

COMMENTS AND RECOMMENDATIONS OF ASSOCIATE SUPERINTENDENT:

_____
(Name of Evaluator)

COMMENTS OF ADMINISTRATOR:

September 27, 1982

SCHOOL CLIMATE

I. Describe the climate of the school

Phrases:

Probing Questions:

How do teachers view school climate?

How do students view school climate?

How would a parent/visitor describe the halls at change of class, recess, or dismissal time?

Synthesis:

1	2	3	4	5	6	7	8	9	10

Open
Healthy

Closed
Unhealthy

Describe the Evaluative-Supervisory Climate

Phrases:

Probing Questions:

How would you describe your rapport with colleagues? superiors? subordinates?

To what extent do you participate in the evaluative-supervisory cycles?

What is your perception of the process used to supervise you?

How is the evaluate-supervisory climate viewed by those who are influenced by it?

What evaluative-supervisory skills are your strengths? weaknesses?

Synthesis:

1	2	3	4	5	6	7	8	9	10

Open
Healthy

Closed
Unhealthy

Describe your role as a manager

Phrases:

Probing Questions:

What managerial tasks are priorities of yours?

To what extent do budgetary matters occupy your time?

To what extent are your responsible for implementing the discipline policy?

Synthesis:

1	2	3	4	5	6	7	8	9	10

Effective Ineffective

Describe your role in the public relations arena

Phrases:

Probing Questions:

How would you describe your rapport with parents? the taxpayers in your district?

To what extent do you devote your time to meeting with the public?

What specific skills do you have that assist you in dealing with the public?

Synthesis:

1	2	3	4	5	6	7	8	9	10

Effective Ineffective

Describe your role as Instructional Leader

Phrases:

Probing Questions:

Describe your personal knowledge of curriculum development.

Describe your personal leadership style in terms of its characteristics and flexibility.

To what extent does the staff give you feedback on your leadership style?

To what extent have you been able to direct the improvement of instruction?

Synthesis:

1	2	3	4	5	6	7	8	9	10

Effective Ineffective

Describe your role as an administrative planner

Phrases:

Probing Questions:

Describe those changes that you have helped affect in the last five years

Describe those changes that you hope to affect in the next five years.

Synthesis:

1	2	3	4	5	6	7	8	9	10

Effective Ineffective

UNANTICIPATED OUTCOMES

Record the phrases which cannot be categorized under the six key question area:

List those conclusions (synthesis statements) which can be drawn from the above phrases:

APPENDIX 10

ROLE AND RESPONSIBILITY STATEMENT FOR PRINCIPAL

For the school, in accordance with law, board policy, and administrative directives, the school principal shall be responsible for:

The conduct and outcome of all programs both curricular and co-curricular.

Evaluating and reporting student learning and development.

The attitude of students toward self, others, school and education.

The safety, welfare and conduct of students while participating in school programs or on their way to or from school on transportation provided by the district.

The attitude of staff toward the students and parents, toward other staff, the schools, the district and its programs.

The selection, assignment, training, performance, professional growth and advancement, evaluation, retention, transfer, promotion, reprimand, demotion and separation of all staff.

The attitude of the parents and the community toward the school, the district and its programs.

The condition of the physical assets: these shall include the neatness and cleanliness of the buildings and grounds and the safety, security and state of maintenance and repair of the buildings, grounds, furnishings and equipment, except to the extent that responsibility has been assigned to a department of the district.

The accommodation and district transportation of students.

The planning and control of the expenditure of all funds.

Additional duties and obligations assigned by the associate superintendent of schools.

APPENDIX 11

10227 - 70 Street
Edmonton, Alberta T6A 2T5
June 19, 1985

Dear Colleague:

Thanks so much for participating in my survey regarding performance reviews of principals in the Edmonton Public School District.

Please find enclosed a copy of the survey. The results have been analyzed and are included on a separate sheet. I hope that they are of interest and perhaps in some way beneficial to you.

A total of 114 principals were surveyed and 94 completed the survey. Thanks again for such a high response rate.

I now have all my data collected. These are, of course, my initial results. I hope to be able to do some writing this summer as I am aiming for completion of my thesis by May, 1986. If you would like any other information regarding my findings and/or conclusions, please do not hesitate to call me at school (476-8611) or my residence (468-3999)

Have a good summer.

Sincerely,

Donna

Donna I. Wilson

DIW/cd

APPENDIX 12

QUESTION NO.		A	B	C	D	E	-- UNANSWERED --
PART I 1	*	67 (71.3)	25 (26.6)	0 (0.0)	1 (1.1)	0 (0.0)	1 (1.1)
2	*	69 (73.4)	22 (23.4)	1 (1.1)	0 (0.0)	1 (1.1)	1 (1.1)
3	*	55 (58.5)	36 (38.3)	1 (1.1)	0 (0.0)	1 (1.1)	1 (1.1)
4	*	38 (40.4)	45 (47.9)	8 (8.5)	0 (0.0)	1 (1.1)	2 (2.1)
5	*	36 (38.3)	40 (42.6)	10 (10.6)	3 (3.2)	3 (3.2)	2 (2.1)
6	*	7 (7.4)	23 (24.5)	31 (33.0)	27 (28.7)	4 (4.3)	2 (2.1)
7	*	24 (25.5)	44 (46.8)	13 (13.8)	9 (9.6)	3 (3.2)	1 (1.1)
8	*	4 (4.3)	27 (28.7)	29 (30.9)	27 (28.7)	6 (6.4)	1 (1.1)
9	*	16 (17.0)	39 (41.5)	23 (24.5)	10 (10.6)	5 (5.3)	1 (1.1)
10	*	16 (17.0)	35 (37.2)	22 (23.4)	16 (17.0)	4 (4.3)	1 (1.1)
11	*	43 (45.7)	28 (29.8)	11 (11.7)	7 (7.4)	3 (3.2)	2 (2.1)
12	*	21 (22.3)	39 (41.5)	18 (19.1)	9 (9.6)	6 (6.4)	1 (1.1)
13	*	25 (26.6)	34 (36.2)	20 (21.3)	11 (11.7)	3 (3.2)	1 (1.1)
14	*	13 (13.8)	17 (18.1)	31 (33.0)	24 (25.5)	8 (8.5)	1 (1.1)
15	*	32 (34.0)	24 (25.5)	21 (22.3)	14 (14.9)	1 (1.1)	2 (2.1)
16	*	17 (18.1)	38 (40.4)	19 (20.2)	16 (17.0)	3 (3.2)	1 (1.1)
17	*	35 (37.2)	47 (50.0)	9 (9.6)	1 (1.1)	1 (1.1)	1 (1.1)
18	*	20 (21.3)	45 (47.9)	20 (21.3)	7 (7.4)	1 (1.1)	1 (1.1)
19	*	11 (11.7)	37 (39.4)	20 (21.3)	20 (21.3)	5 (5.3)	1 (1.1)
20	*	44 (46.8)	28 (29.8)	18 (19.1)	1 (1.1)	1 (1.1)	2 (2.1)
21	*	91 (96.8)	1 (1.1)	1 (1.1)	0 (0.0)	0 (0.0)	1 (1.1)
22	*	23 (24.5)	3 (3.2)	9 (9.6)	4 (4.3)	54 (57.4)	1 (1.1)
23	*	31 (33.0)	6 (6.4)	0 (0.0)	0 (0.0)	45 (47.9)	12 (12.8)
24	*	14 (14.9)	7 (7.4)	0 (0.0)	0 (0.0)	57 (60.6)	16 (17.0)

FIGURE IN BRACKETS IS THE PERCENT OF RESPONSES.